

NORMAL SUBGROUPS IN THE CREMONA GROUP

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ABSTRACT. Let \mathbf{k} be an algebraically closed field. We show that the Cremona group of all birational transformations of the projective plane $\mathbb{P}_{\mathbf{k}}^2$ is not a simple group. The strategy makes use of hyperbolic geometry, geometric group theory, and algebraic geometry to produce elements in the Cremona group which generate non trivial normal subgroups.

RÉSUMÉ. Soit \mathbf{k} un corps algébriquement clos. Nous montrons que le groupe de Cremona, formé des transformations birationnelles du plan projectif $\mathbb{P}_{\mathbf{k}}^2$, n'est pas un groupe simple. Pour cela nous produisons des éléments engendrant des sous-groupes normaux non triviaux à l'aide de théorie géométrique des groupes, de géométrie hyperbolique et de géométrie algébrique.

Foreword

(a).— This text is a new version of our paper with the same title published in the mathematical journal *Acta Mathematica* in 2013 (see reference [CL] below). We correct two mistakes, one in the proof of Lemma 2.16, one in the proof of Proposition 5.7. None of the statements is affected. We also add a few references and remarks at the end of this foreword.

(b).—**On Lemma 2.16.**— We thank Atsushi Ito who kindly informed us of the following problem. In our original article, at the top of page 56, sixth line, we wrote “... and property (iii) is obtained after translating q along $[q, b_{j+1}]$...” Unfortunately,

- if we translate q towards b_{j+1} the segment $[c_i, q]$ has no reason to be neutral anymore;
- if we translate q in the other direction we lose condition (ii) about the alignment of c_{i-1}, q, b_{j+1} .

There was a similar problem in the last case of the proof (Figure 6).

The idea to correct this problem is quite simple: we allow the segment to be short, but in this case we relax the condition to be almost aligned. This is precisely our new conditions (ii) and (iii). Since a small change in conditions (ii) and (iii) impacts the totality of the proof of Lemma 2.16, there are many places where the original article needs to be updated, but the unique reason for such a

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change is the above mentioned problem.

Remark.— Lemma 2.16 is a step toward the proof of our “normal subgroup theorem”, which provides a sufficient condition to assure that a group acting on a Gromov hyperbolic space is not simple. See below for developments regarding such theorems.

(c).—On Proposition 5.7.— As explained in an article of Anne Lonjou (see [L, §2.3]), a computational mistake occurs in the proof of Proposition 5.7, when we excluded the cases $\deg(f) = 2$ or 3 on page 75 of [CL]. In the formula, page 75, that computes $[2E1 + E2 + E3 + E4 + E5] \cdot [R]$, we overlooked that $[R]$ might contain two classes with coefficient $(d - 1)/d$: one coming from the point with maximal multiplicity of g , and another coming from the analogous point for g^{-1} . This mistake does not affect the proof for $\deg(f) = 3$, but in the case $\deg(f) = 2$ the same mistake occurs and the majoration on the bottom of page 75 is erroneous. On the top of page 76, one should then write $[E1 + E2 + E3] \cdot [R] \geq -2 + 1/d$ (instead of $-1 - 1/d$). Observe that in the case $d = 2$ there is no problem, but since we want a statement for all d with a uniform ε_0 , a correction is necessary. Our initial argument to exclude $\deg(f) = 1$ is easily adapted to provide such a correction.

(d).—Recent developments.— Since 2013, several important contributions improved our understanding of normal subgroups in the Cremona group in two variables. Here is a non-exhaustive list of interesting developments.

– Another approach to the “normal subgroup theorem” for groups acting on Gromov hyperbolic spaces has been developed by François Dahmani, Vincent Guirardel, and Denis Osin [DGO]. This theorem and its relationship with our approach is explained in the Bourbaki Seminar of Rémi Coulon [Co]. Applications to the Cremona group are described in Coulon’s article and in the recent article of Lonjou [L]. For example, Lonjou proves that the Cremona group in two variables $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is never simple, whatever the field \mathbf{k} . Our initial argument did not cover all possible fields (for instance, we did not consider finite fields).

– To apply the “normal subgroup theorems”, one needs to find “tight” elements or “wpd” elements in $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$, depending on which version of the theorem one applies (either Theorem C in the present article, or the analogous statement obtained by Dahmani, Guirardel, and Osin). Nicolas Shepherd-Barron gave a nice characterization of these “tight” elements in the Cremona group (see [S]). This is based on a better understanding of subgroups of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ which are normalized by birational transformations f with dynamical degree $\lambda(f) > 1$, and

on a better understanding of the possible values of dynamical degrees $\lambda(f)$ (see [Ca], [B-C]).

– Our article directly implies that $\text{Bir}(\mathbb{P}_{\mathbf{R}}^2)$ is not simple, but the normal subgroups we construct are wild. Susanna Zimmermann recently proved that the derived subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{R}}^2)$ is a non-trivial, strict subgroup: the abelianization of $\text{Bir}(\mathbb{P}_{\mathbf{R}}^2)$ is a direct sum of copies of $\mathbf{Z}/2\mathbf{Z}$ which is indexed by \mathbf{R} . The technic is completely different, it relies on an explicit presentation of that group.

(e).–References.–

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Note, also, that references [6], [7], [9], [36], have now been published (respectively in Annals of Math., vol 174 (2012), no. 1, 299–340 ; in J. Amer. Math. Soc., vol 25 (2012), no. 3, 863-905; in Cours Spécialisés, 19. Société Mathématique de France, Paris, 2013 ; and in Panorama et Synthèse, vol. 30, Société Math. de France).

CONTENTS

1. Introduction	4
Part A. Hyperbolic Geometry and Normal Subgroups	9
2. Gromov hyperbolic spaces	9
3. Hyperbolic spaces with constant negative curvature	32
Part B. Algebraic Geometry and the Cremona Group	35
4. The Picard-Manin space	35
5. Tight birational maps	41
6. Complements	58

Appendix A. The Cremona group is not an amalgam	61
References	65

1. INTRODUCTION

1.1. The Cremona group. The Cremona group in n variables over a field \mathbf{k} is the group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^n)$ of birational transformations of the projective space $\mathbb{P}_{\mathbf{k}}^n$ or, equivalently, the group of \mathbf{k} -automorphisms of the field $\mathbf{k}(x_1, \dots, x_n)$ of rational functions of $\mathbb{P}_{\mathbf{k}}^n$. In dimension $n = 1$, the Cremona group coincides with the group $\text{Aut}(\mathbb{P}_{\mathbf{k}}^1)$ of regular automorphisms of $\mathbb{P}_{\mathbf{k}}^1$, that is with the group $\text{PGL}_2(\mathbf{k})$ of linear projective transformations. When $n \geq 2$, the group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^n)$ is infinite dimensional; it contains algebraic groups of arbitrarily large dimensions (see [2, 53]). In this article, we prove the following theorem.

Main Theorem. *If \mathbf{k} is an algebraically closed field, the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is not a simple group.*

This answers one of the main open problems concerning the algebraic structure of this group: According to Dolgachev, Manin asked whether $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ is a simple group in the sixties; Mumford mentioned also this question in the early seventies (see [48]); in fact, one can trace this problem back to 1894, since Enriques already mentions it in [28]: “*l'importante questione se il gruppo Cremona contenga alcun sottogruppo invariante (questione alla quale sembra probabile si debba rispondere negativamente)*”.

The proof of this theorem makes use of geometric group theory and isometric actions on infinite dimensional hyperbolic spaces. It provides stronger results when one works over the field of complex numbers \mathbf{C} ; before stating these results, a few remarks are in order.

Remark 1.1. a.— There is a natural topology on the Cremona group which induces the Zariski topology on the spaces $\text{Bir}_d(\mathbb{P}_{\mathbf{k}}^2)$ of birational transformations of degree d (see [53, 2] and references therein). J. Blanc proved in [3] that $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ has only two *closed* normal subgroups for this topology, namely $\{\text{Id}\}$ and $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ itself. J. Déserti proved that $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ is perfect, hopfian, and co-hopfian, and that its automorphism group is generated by inner automorphisms and the action of automorphisms of the field of complex numbers (see [19, 20, 21]). In particular, there is no obvious algebraic reason which explains why $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ is not simple.

1.1. b.— An interesting example is given by the group $\text{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ of polynomial automorphisms of the affine plane $\mathbb{A}_{\mathbf{k}}^2$ with Jacobian determinant equal to 1. From Jung’s theorem, one knows that this group is the amalgamated product

of the group $\mathrm{SL}_2(\mathbf{k}) \times \mathbf{k}^2$ of affine transformations with the group of elementary transformations

$$f(x, y) = (ax + p(y), y/a), \quad a \in \mathbf{k}^*, \quad p(y) \in \mathbf{k}[y],$$

over their intersection (see [41, 43] and references therein); as such, $\mathrm{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ acts faithfully on a simplicial tree without fixing any edge or vertex. Danilov used this action, together with small cancellation theory, to prove that $\mathrm{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ is not simple (see [17] and [32]).

1.1. c.– The group $\mathrm{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ contains a linear group with Kazhdan property (T), namely $\mathrm{PGL}_3(\mathbf{C})$, and it cannot be written as a non trivial free product with amalgamation [14]. Thus, even if our strategy is similar to Danilov’s proof, it has to be more involved (see §6.1.2).

1.2. General elements. Let $[x : y : z]$ be homogeneous coordinates for the projective plane $\mathbb{P}_{\mathbf{k}}^2$. Let f be a birational transformation of $\mathbb{P}_{\mathbf{k}}^2$. There are three homogeneous polynomials $P, Q,$ and $R \in \mathbf{k}[x, y, z]$ of the same degree d , and without common factor of degree ≥ 1 , such that

$$f[x : y : z] = [P : Q : R].$$

The degree d is called the **degree** of f , and is denoted by $\deg(f)$. The space $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{k}}^2)$ of birational transformations of degree d is a quasi-projective variety. For instance, Cremona transformations of degree 1 correspond to the automorphism group $\mathrm{Aut}(\mathbb{P}_{\mathbf{k}}^2) = \mathrm{PGL}_3(\mathbf{k})$ and Cremona transformations of degree 2 form an irreducible variety of dimension 14 (see [9]).

We define the **Jonquières group** \mathbf{J} as the group of birational transformations of the plane $\mathbb{P}_{\mathbf{k}}^2$ that preserve the pencil of lines through the point $[1 : 0 : 0]$. Let \mathbf{J}_d be the subset of \mathbf{J} made of birational transformations of degree d , and let \mathbf{V}_d be the subset of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{k}}^2)$ whose elements are compositions $h_1 \circ f \circ h_2$ where h_1 and h_2 are in $\mathrm{Aut}(\mathbb{P}_{\mathbf{k}}^2)$ and f is in \mathbf{J}_d . The dimension of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{k}}^2)$ is equal to $4d+6$ and \mathbf{V}_d is its unique irreducible component of maximal dimension (see [49]).

On an algebraic variety W , a property is said to be **generic** if it is satisfied on the complement of a Zariski closed subset of W of codimension ≥ 1 , and is said to be **general** if it is satisfied on the complement of countably many Zariski closed subsets of W of codimension ≥ 1 .

Theorem A. *There exists a positive integer k with the following property. Let $d \geq 2$ be an integer. If g is a general element of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{C}}^2)$, and n is an integer with $n \geq k$, then g^n generates a normal subgroup of the Cremona group $\mathrm{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ that does not contain any element f of $\mathrm{Bir}(\mathbb{P}_{\mathbf{C}}^2) \setminus \{\mathrm{Id}\}$ with $\deg(f) < \deg(g)^n$.*

To prove Theorem A we choose g in the unique irreducible component of maximal dimension \mathbf{V}_d . Thus, the proof does not provide any information concerning

general elements of the remaining components of the variety $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$. As a corollary of Theorem A, *the group $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ contains an uncountable number of normal subgroups* (see §6.3).

Remark 1.2. a.– M. Gizatullin proved that any non trivial element $g \in \text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ preserving a pencil of lines generates a normal subgroup equal to $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$; the same conclusion holds for any $g \in \text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ with $\deg(g) \leq 7$ (see [35], or [9] when $\deg(g) \leq 2$).

1.2. b.– We provide an explicit upper bound for the best possible constant k in Theorem A, namely $k \leq 201021$. We do so to help the reader follow the proof. According to Gizatullin’s result, if g is an element of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2) \setminus \{\text{Id}\}$ with $\deg(g) \leq 7$, then the smallest normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ containing g coincides with $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$. Thus, the best constant k is larger than 1. Our method gives a rather small constant for large enough degrees, namely $k \leq 375$, but does not answer the following question: Does a general element of $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$ generates a strict normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ for all large enough degrees d ? Note that g^n is not an element of the maximal dimensional component V_{d^n} if $n \geq 2$ and $g \in \text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$.

1.3. Automorphisms of Kummer and Coble surfaces. If X is a rational surface, then the group of automorphisms $\text{Aut}(X)$ is conjugate to a subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$. In §5.2, we study two classes of examples. The first one is a (generalized) Kummer surface. Let $\mathbf{Z}[i] \subset \mathbf{C}$ be the lattice of Gaussian integers. We start with the abelian surface $Y = E \times E$ where E is the elliptic curve $\mathbf{C}/\mathbf{Z}[i]$. The group $\text{SL}_2(\mathbf{Z}[i])$ acts by linear automorphisms on Y , and commutes with the order 4 homothety $\eta(x, y) = (ix, iy)$. The quotient Y/η is a (singular) rational surface on which $\text{PSL}_2(\mathbf{Z}[i])$ acts by automorphisms. Since Y/η is rational, the conjugacy by any birational map $\phi: Y/\eta \dashrightarrow \mathbb{P}_{\mathbb{C}}^2$ provides an isomorphism between $\text{Bir}(Y/\eta)$ and $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$, and therefore an embedding of $\text{PSL}_2(\mathbf{Z}[i])$ into $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$. In the following statement, we restrict this homomorphism to the subgroup $\text{PSL}_2(\mathbf{Z})$ of $\text{PSL}_2(\mathbf{Z}[i])$.

Theorem B. *There is an integer $k \geq 1$ with the following property. Let M be an element of $\text{SL}_2(\mathbf{Z})$, the trace of which satisfies $|\text{tr}(M)| \geq 3$. Let g_M be the automorphism of the rational Kummer surface Y/η which is induced by M . Then, g_M^k generates a proper normal subgroup of the Cremona group $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2) \simeq \text{Bir}(Y/\eta)$.*

Theorems A and B provide examples of normal subgroups coming respectively from general and from highly non generic elements in the Cremona group. In §5.2.3, we also describe automorphisms of Coble surfaces that generate non trivial normal subgroups of the Cremona group; Coble surfaces are quotients of K3

surfaces, while Kummer surfaces are quotient of abelian surfaces. Thanks to a result due to Coble and Dolgachev, for any algebraically closed field \mathbf{k} we obtain automorphisms of Coble surfaces which generate proper normal subgroups in the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$. The Main Theorem follows from this construction (see Theorem 5.20).

1.4. An infinite dimensional hyperbolic space (see §4). The Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ acts faithfully on an infinite dimensional hyperbolic space which is the exact analogue of the classical finite dimensional hyperbolic spaces \mathbb{H}^n . This action is at the heart of the proofs of Theorems A and B. To describe it, let us consider all rational surfaces $\pi: X \rightarrow \mathbb{P}_{\mathbf{k}}^2$ obtained from the projective plane by successive blow-ups. If $\pi': X' \rightarrow \mathbb{P}_{\mathbf{k}}^2$ is obtained from $\pi: X \rightarrow \mathbb{P}_{\mathbf{k}}^2$ by blowing up more points, then there is a natural birational morphism $\varphi: X' \rightarrow X$, defined by $\varphi = \pi^{-1} \circ \pi'$, and the pullback operator φ^* embeds the Néron-Severi group $\mathbf{N}^1(X) \otimes \mathbf{R}$ into $\mathbf{N}^1(X') \otimes \mathbf{R}$ (note that $\mathbf{N}^1(X) \otimes \mathbf{R}$ can be identified with the second cohomology group $H^2(X, \mathbf{R})$ when $\mathbf{k} = \mathbf{C}$). The direct limit of all these groups $\mathbf{N}^1(X) \otimes \mathbf{R}$ is called the **Picard-Manin space** of $\mathbb{P}_{\mathbf{k}}^2$. This infinite dimensional vector space comes together with an intersection form of signature $(1, \infty)$, induced by the intersection form on divisors; we shall denote this quadratic form by

$$([\alpha], [\beta]) \mapsto [\alpha] \cdot [\beta].$$

We obtain in this way an infinite dimensional Minkowski space. The set of elements $[\alpha]$ in this space with self intersection $[\alpha] \cdot [\alpha] = 1$ is a hyperboloid with two sheets, one of them containing classes of ample divisors of rational surfaces; this connected component is an infinite hyperbolic space for the distance dist defined in terms of the intersection form by

$$\cosh(\text{dist}([\alpha], [\beta])) = [\alpha] \cdot [\beta].$$

Taking the completion of this metric space, we get an infinite dimensional, complete, hyperbolic space $\mathbb{H}_{\bar{\mathbf{z}}}$. The Cremona group acts faithfully on the Picard-Manin space, preserves the intersection form, and acts by isometries on the hyperbolic space $\mathbb{H}_{\bar{\mathbf{z}}}$.

1.5. Normal subgroups in isometry groups. In Part A, we study the general situation of a group G acting by isometries on a δ -hyperbolic space \mathcal{H} . Let us explain the content of the central result of Part A, namely Theorem 2.10, in the particular case of the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ acting by isometries on the hyperbolic space $\mathbb{H}_{\bar{\mathbf{z}}}$. Isometries of hyperbolic spaces fall into three types: Elliptic, parabolic, and hyperbolic. A Cremona transformation $g \in \text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ determines a hyperbolic isometry g_* of $\mathbb{H}_{\bar{\mathbf{z}}}$ if and only if the following equivalent properties are satisfied:

- The sequence of degrees $\deg(g^n)$ grows exponentially fast:

$$\lambda(g) := \limsup_{n \rightarrow \infty} \left(\deg(g^n)^{1/n} \right) > 1;$$

- There is a g_* -invariant plane V_g in the Picard-Manin space that intersects $\mathbb{H}_{\bar{\mathbb{Z}}}$ on a curve $\text{Ax}(g_*)$ (a geodesic line) on which g_* acts by a translation; more precisely, $\text{dist}(x, g_*(x)) = \log(\lambda(g))$ for all x in $\text{Ax}(g_*)$.

The curve $\text{Ax}(g_*)$ is uniquely determined and is called the **axis** of g_* . We shall say that an element g of the Cremona group is **tight** if it satisfies the following three properties:

- The isometry $g_*: \mathbb{H}_{\bar{\mathbb{Z}}} \rightarrow \mathbb{H}_{\bar{\mathbb{Z}}}$ is hyperbolic;
- There exists a positive number B such that: If f is an element of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ and $f_*(\text{Ax}(g_*))$ contains two points at distance B which are at distance at most 1 from $\text{Ax}(g_*)$ then $f_*(\text{Ax}(g_*)) = \text{Ax}(g_*)$;
- If f is in $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ and $f_*(\text{Ax}(g_*)) = \text{Ax}(g_*)$, then $fgf^{-1} = g$ or g^{-1} .

The second property is a rigidity property of $\text{Ax}(g)$ with respect to isometries f_* with f in $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$. The third property means that the stabilizer of $\text{Ax}(g)$ coincides with the normalizer of the cyclic group $g^{\mathbb{Z}}$. Applied to the Cremona group, Theorem 2.10 gives the following statement.

Theorem C. *Let g be an element of the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$. If the isometry $g_*: \mathbb{H}_{\bar{\mathbb{Z}}} \rightarrow \mathbb{H}_{\bar{\mathbb{Z}}}$ is tight, there exists a positive integer k such that g^k generates a non trivial normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$.*

Theorems A and B are then deduced from the fact that general elements of $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$ (resp. automorphisms g_M on rational Kummer surfaces with $|\text{tr}(M)| \geq 3$) are tight elements of the Cremona group (see Theorems 5.14 and 5.20).

Remark 1.3. Theorem C will be proved in the context of groups of isometries of Gromov's δ -hyperbolic spaces ; the strategy is similar to the one used by Delzant in [18] to construct normal subgroups in Gromov hyperbolic groups. As such, Theorem C is part of the so-called small cancellation theory; we shall explain and comment on this in Section 2.

1.6. Description of the paper. The paper starts with the proof of Theorem C in the general context of δ -hyperbolic spaces (section 2), and explains how this general statement can be used in the case of isometry groups of spaces with constant negative curvature (section 3).

Section 4 provides an overview on the Picard-Manin space, the associated hyperbolic space $\mathbb{H}_{\bar{\mathbb{Z}}}$, and the isometric action of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ on this space. Algebraic geometry and geometric group theory are then put together to prove Theorem

A (§5.1), Theorem B, and the Main Theorem (§5.2). At the end of the paper we list a few remarks and comments.

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Part A. Hyperbolic Geometry and Normal Subgroups

2. GROMOV HYPERBOLIC SPACES

This section is devoted to the proof of Theorem 2.10, a result similar to Theorem C but in the general context of isometries of Gromov hyperbolic spaces.

2.1. Basic definitions.

2.1.1. *Hyperbolicity.* Let $(\mathcal{H}, \mathbf{d})$ be a metric space. If x is a base point of \mathcal{H} , the Gromov product of two points $y, z \in \mathcal{H}$ is

$$(y|z)_x = \frac{1}{2} \{ \mathbf{d}(y, x) + \mathbf{d}(z, x) - \mathbf{d}(y, z) \}.$$

The triangle inequality implies that $(y|z)_x$ is non negative. Let δ be a non negative real number. The metric space $(\mathcal{H}, \mathbf{d})$ is δ -**hyperbolic** in the sense of Gromov if

$$(x|z)_w \geq \min\{(x|y)_w, (y|z)_w\} - \delta$$

for all x, y, w , and z in \mathcal{H} . Equivalently, the space \mathcal{H} is δ -hyperbolic if, for any $w, x, y, z \in \mathcal{H}$, we have

$$\mathbf{d}(w, x) + \mathbf{d}(y, z) \leq \max\{\mathbf{d}(w, y) + \mathbf{d}(x, z), \mathbf{d}(w, z) + \mathbf{d}(x, y)\} + 2\delta. \quad (2.1)$$

Two fundamental examples of δ -hyperbolic spaces are given by simplicial metric trees, or more generally by \mathbf{R} -trees, since they are 0-hyperbolic, and by the n -dimensional hyperbolic space \mathbb{H}^n , or more generally CAT(-1) spaces, since both are δ -hyperbolic for $\delta = \log(3)$ (see [33, chapter 2], [13]).

2.1.2. *Geodesics.* A **geodesic segment** from x to y in \mathcal{H} is an isometry γ from an interval $[s, t] \subset \mathbf{R}$ into \mathcal{H} such that $\gamma(s) = x$ and $\gamma(t) = y$. The metric space $(\mathcal{H}, \mathbf{d})$ is a **geodesic space** if any pair of points in \mathcal{H} can be joined by a geodesic segment. Let $[x, y] \subset \mathcal{H}$ be a geodesic segment, and let $\gamma: [0, l] \rightarrow \mathcal{H}$ be an arc length parametrization of $[x, y]$, with $\gamma(0) = x$ and $\gamma(l) = y$. By convention, for $0 \leq s \leq l - t \leq l$, we denote by $[x + s, y - t]$ the geodesic segment $\gamma([s, l - t])$.

A **geodesic line** is an isometry γ from \mathbf{R} to its image $\Gamma \subset \mathcal{H}$. If x is a point of \mathcal{H} and Γ is (the image of) a geodesic line, a **projection** of x onto Γ is a point $z \in \Gamma$ which realizes the distance from x to Γ . Projections exist but are not necessarily unique (in a tree, or in \mathbb{H}^n , the projection is unique). If \mathcal{H} is δ -hyperbolic and if z and z' are two projections of a point x on a geodesic Γ , the distance between z and z' is at most 4δ . In what follows, we shall denote by $\pi_\Gamma(x)$ any projection of x on Γ . Since all small errors will be written in terms of $\theta = 8\delta$, we note that the projection $\pi_\Gamma(x)$ is well defined up to an error of $\theta/2$.

2.2. Classical results from hyperbolic geometry. In what follows, \mathcal{H} will be a δ -hyperbolic and geodesic metric space.

2.2.1. Approximation by trees. In a δ -hyperbolic space, the geometry of finite subsets is well approximated by finite subsets of metric trees; we refer to [33] chapter 2, or [13], for a proof of this basic and crucial fact.

Lemma 2.1 (Approximation by trees). *Let \mathcal{H} be a δ -hyperbolic space, and (x_0, x_1, \dots, x_n) a finite list of points in \mathcal{H} . Let X be the union of the n geodesic segments $[x_0, x_i]$ from the base point x_0 to each other x_i , $1 \leq i \leq n$. Let k be the smallest integer such that $2n \leq 2^k + 1$. Then there exist a metric tree T and a map $\Phi : X \mapsto T$ such that:*

- (1) Φ is an isometry from $[x_0, x_i]$ to $[\Phi(x_0), \Phi(x_i)]$ for all $1 \leq i \leq n$;
- (2) for all $x, y \in X$

$$d(x, y) - 2k\delta \leq d(\Phi(x), \Phi(y)) \leq d(x, y).$$

The map $\Phi : X \mapsto T$ is called an **approximation tree**. For the sake of simplicity, the distance in the tree is also denoted $d(\cdot, \cdot)$. However, to avoid any confusion, we stick to the convention that a point in the tree will always be written under the form $\Phi(x)$, with $x \in X$.

Convention. When $n \leq 4$ we can choose $k = 3$. Let θ be the positive real number defined by

$$\theta = 8\delta.$$

we have

$$d(x, y) - \theta \leq d(\Phi(x), \Phi(y)) \leq d(x, y). \tag{2.2}$$

From now on we fix such a θ , and we always use the approximation lemma in this way for at most 5 points (x_0, \dots, x_4) . The first point in the list will always be taken as the base point and will be denoted by a white circle in the pictures. Since two segments with the same extremities are δ -close, the specific choice of the segments between x_0 and the x_i is not important. We may therefore forget which segments are chosen, and refer to an approximation tree as a pair (Φ, T)

associated to (x_0, \dots, x_n) . In general, the choice of the segments between x_0 and the x_i is either clear, or irrelevant.

In the remaining of §2.2, well known facts from hyperbolic geometry are listed; complete proofs can be found in [33], [13], or in the long version of this paper [8]. First, the following corollary is an immediate consequence of the approximation lemma, and Lemma 2.3 follows from the corollary.

Corollary 2.2. *Let $\Phi: X \mapsto T$ be an approximation tree for at most 5 points. Then*

$$(\Phi(x)|\Phi(y))_{\Phi(z)} - \frac{\theta}{2} \leq (x|y)_z \leq (\Phi(x)|\Phi(y))_{\Phi(z)} + \theta$$

for all x, y , and z in X . In particular $(x|y)_z \leq \theta$ as soon as $\Phi(z) \in [\Phi(x), \Phi(y)]$.

In Corollary 2.2 the inequalities become $(\Phi(x)|\Phi(y))_{\Phi(z)} \leq (x|y)_z$ if x or y is the base point of the approximation tree, and $(x|y)_z \leq (\Phi(x)|\Phi(y))_{\Phi(z)}$ if z is the base point.

Lemma 2.3 (Obtuse angle implies thinness). *Let $\Gamma \subset \mathcal{H}$ be a geodesic line. Let x be a point of \mathcal{H} and $a \in \Gamma$ be a projection of x onto Γ . For all b in Γ and c in the segment $[a, b] \subset \Gamma$, we have $(x|b)_c \leq 2\theta$.*

2.2.2. *Shortening and weak convexity.* The following lemma says that two geodesic segments are close as soon as their extremities are not too far. Lemma 3.1 makes this statement much more precise in the context of CAT(-1) spaces.

Lemma 2.4 (A little shorter, much closer. See 1.3.3 in [18]). *Let $[x, y]$ and $[x', y']$ be two geodesic segments of \mathcal{H} such that*

- (i) $d(x, x') \leq \beta$, and $d(y, y') \leq \beta$
- (ii) $d(x, y) \geq 2\beta + 4\theta$.

Then, the geodesic segment $[x' + \beta + \theta, y' - \beta - \theta]$ is in the 2θ -neighborhood of $[x, y]$.

The following lemma is obvious in a CAT(0) space (by convexity of the distance, see [5, p. 176]).

Lemma 2.5 (Weak convexity). *Let $[x, y]$ and $[x', y']$ be two geodesic segments of \mathcal{H} such that $d(x, x')$ and $d(y, y')$ are bounded from above by β . Then $[x', y']$ is in the $(\beta + 2\theta)$ -neighborhood of $[x, y]$.*

2.2.3. *Canoeing to infinity.* The following lemma comes from [18] (see §1.3.4), and says that hyperbolic canoes never make loops (see §2.3.13 in [40]). This lemma is at the heart of our proof of Theorem C.

Lemma 2.6 (Canoeing). *Let y_0, \dots, y_n be a finite sequence of points in \mathcal{H} , such that*

- (i) $d(y_i, y_{i-1}) \geq 10\theta$ for all $1 \leq i \leq n$;
- (ii) $(y_{i+1}|y_{i-1})_{y_i} \leq 3\theta$ for all $1 \leq i \leq n-1$. (*resp.* $\leq (7/2)\theta$)

Then, for all $1 \leq j \leq n$,

- (1) $d(y_0, y_j) \geq d(y_0, y_{j-1}) + 2\theta$ if $j \geq 1$;
- (2) $d(y_0, y_j) \geq \sum_{i=1}^j (d(y_i, y_{i-1}) - 7\theta)$; (*resp.* $\geq \sum_{i=1}^j (d(y_i, y_{i-1}) - 8\theta)$)
- (3) y_j is $(9/2)\theta$ -close to any geodesic segment $[y_0, y_n]$. *In particular, it is 5θ -close to any such segment.*

2.3. Rigidity of axis and non simplicity criterion. Let G be a group of isometries of a δ -hyperbolic space (\mathcal{H}, d) , and g be an element of G . Our goal is to provide a criterion which implies that the normal subgroup $\langle\langle g \rangle\rangle$ generated by g in G does not coincide with G .

2.3.1. Isometries. There are three types of isometries $f \in \text{Isom}(\mathcal{H})$ of a δ -hyperbolic space (\mathcal{H}, d) , respectively termed **elliptic**, **parabolic**, **hyperbolic**. An isometry f is elliptic if one, and then all orbits of f are bounded. In the parabolic and hyperbolic cases, f has unbounded orbits ; hence, the limit set of the cyclic group generated by f is a non-empty subset of the boundary at infinity $\partial\mathcal{H}$ of \mathcal{H} (see [33]). This limit set has exactly one element if f is parabolic, and two if f is hyperbolic.

Define the **translation length** $L(f)$ of f as the infimum of $d(x, f(x))$ where x runs over all points of \mathcal{H} , and denote by $\text{Min}(f)$ the set of points that realize $L(f)$. Say that f has an **invariant axis** if there is a geodesic line Γ such that $f(\Gamma) = \Gamma$. If f has an invariant axis, then f is either elliptic or hyperbolic, for f fixes the two boundary points of the axis at infinity.

Suppose that f is hyperbolic. If it has an invariant axis Γ , this axis is contained in $\text{Min}(f)$ and f acts as a translation of length $L(f)$ along Γ . If Γ and Γ' are two invariant axis, each of them is in the 2θ -tubular neighborhood of the other (apply Lemma 2.4). When f is hyperbolic and has an invariant axis, we denote by $\text{Ax}(f)$ any invariant geodesic line, even if such a line is a priori not unique.

Remark 2.7. If (\mathcal{H}, d) is complete, $\text{CAT}(0)$ and δ -hyperbolic, every hyperbolic isometry has an invariant axis (see [5, chap. II, theorem 6.8]). When \mathcal{H} is a tree or a hyperbolic space \mathbb{H}^n , the set $\text{Min}(g)$ coincides with the unique geodesic line it contains. If G is a hyperbolic group acting on its Cayley graph, any hyperbolic $g \in G$ admits a periodic geodesic line; thus, there is a non trivial power g^k of g which has an invariant axis.

2.3.2. *Rigidity of geodesic lines.* If A and A' are two subsets of \mathcal{H} , the **intersection with precision** α of A and A' is the intersection of the tubular neighborhoods $\text{Tub}_\alpha(A)$ and $\text{Tub}_\alpha(A')$:

$$A \cap_\alpha A' = \{x \in \mathcal{H}; d(x, A) \leq \alpha \text{ and } d(x, A') \leq \alpha\}.$$

Let ε and B be positive real numbers. A subset A of \mathcal{H} is (ε, B) -**rigid** if $f(A) = A$ as soon as $f \in G$ satisfies

$$\text{diam}(A \cap_\varepsilon f(A)) \geq B.$$

This rigidity property involves both the set A and the group G . The set A is ε -**rigid** if there exists a positive number $B > 0$ such that A is (ε, B) -rigid. If $\varepsilon' < \varepsilon$ and $A \subset \mathcal{H}$ is ε -rigid, then A is also ε' -rigid (for the same constant B). The converse holds for geodesic lines (or convex sets) when ε' is not too small:

Lemma 2.8. *Let $\varepsilon > 2\theta$. If a geodesic line $\Gamma \subset \mathcal{H}$ is $(2\theta, B)$ -rigid, then Γ is also $(\varepsilon, B + 6\varepsilon + 4\theta)$ -rigid.*

Proof. Let $B' = B + 6\varepsilon + 4\theta$. Suppose that $\text{diam}(\Gamma \cap_\varepsilon f(\Gamma)) \geq B'$. We want to show that $f(\Gamma) = \Gamma$. There exist $x, y \in \Gamma$, $x', y' \in f(\Gamma)$ such that $d(x, x') \leq 2\varepsilon$, $d(y, y') \leq 2\varepsilon$, $d(x, y) \geq B' - 2\varepsilon$ and $d(x', y') \geq B' - 2\varepsilon$. By Lemma 2.4, the segment

$$[u, v] := [x' + 2\varepsilon + \theta, y' - 2\varepsilon - \theta] \subset \Gamma$$

is 2θ -close to $[x, y]$, and we have $d(u, v) \geq B$. Thus $\Gamma \cap_{2\theta} f(\Gamma)$ contains the two points u and v and has diameter greater than B . Since Γ is $(2\theta, B)$ -rigid, we conclude that $\Gamma = f(\Gamma)$. \square

2.3.3. *Tight elements, small cancellation, and the normal subgroup theorem.* We shall say that an element $g \in G$ is **tight** if

- g is hyperbolic and admits an invariant axis $\text{Ax}(g) \subset \text{Min}(g)$;
- the geodesic line $\text{Ax}(g)$ is 2θ -rigid;
- for all $f \in G$, if $f(\text{Ax}(g)) = \text{Ax}(g)$ then $fgf^{-1} = g$ or g^{-1} .

Note that if g is tight, then any iterate g^n , $n > 0$, is also tight.

We shall say that $g \in G$ satisfies the **small cancellation property** if $g \in G$ is tight, with a $(14\theta, B)$ -rigid axis $\text{Ax}(g)$ and

$$\frac{L(g)}{20} \geq 60\theta + 2B.$$

Thus, the small cancellation property requires both tightness and a large enough translation length. We shall comment on this definition in Section 2.3.4 and explain how it is related to classical small cancellation properties.

Remark 2.9. If g is tight, then g^n is tight for all $n \geq 1$, and g^n satisfies the small cancellation property as soon as $nL(g) \geq 1200\theta + 40B$.

We now state the main theorem of Part A; this result implies Theorem C from the introduction.

Theorem 2.10 (Normal subgroup theorem). *Let G be a group acting by isometries on a hyperbolic space \mathcal{H} . Suppose that $g \in G$ satisfies the small cancellation property. Then any element $h \neq \text{Id}$ in the normal subgroup $\langle\langle g \rangle\rangle \subset G$ satisfies the following alternative: Either h is a conjugate of g or h is a hyperbolic isometry with translation length $L(h) > L(g)$. In particular, if $n \geq 2$, the normal subgroup $\langle\langle g^n \rangle\rangle$ does not contain g .*

2.3.4. *Small cancellation properties and complements.* Assume that g is a hyperbolic element of G and $\text{Ax}(g) \subset \text{Min}(g)$ is an axis of g . Let $\lambda \in \mathbf{R}_+^*$ be a positive real number. One says that g satisfies the small cancellation property with parameter λ , or the λ -small cancellation property, if the following is satisfied: For all elements $f \in G$ with $f(\text{Ax}(g)) \neq \text{Ax}(g)$, the set of points of $f(\text{Ax}(g))$ at distance $\leq 4\theta = 32\delta$ from $\text{Ax}(g)$ has diameter at most $\lambda L(g)$.

When g is tight, with a $(14\theta, B)$ -rigid axis, then g satisfies this small cancellation property as soon as $\lambda L(g) \geq B$. In particular, g^n satisfies the λ -small cancellation property when $n \geq B/(\lambda L(g))$. Assume now that g satisfies the small cancellation property with parameter λ ; then g is tight with a $(2\theta, \lambda L(g))$ -rigid axis. By Lemma 2.8, the axis of g is $(14\theta, B)$ -rigid with $B = \lambda L(g) + 88\theta$. This shows that the less precise cancellation property used in Theorem 2.10 corresponds to the following, more classical, pair of assumptions

- g satisfies the λ -small cancellation property for some $0 < \lambda < 1/40$;
- $L(g) \geq (3640\theta)/(1 - 40\lambda)$.

Such hypotheses are well known in geometric group theory (see [50], [18] or [51] for example).

Remark 2.11. a.— Theorem 2.10 is similar to the main result of [18], which concerns the case of a hyperbolic group G acting on its Cayley graph; our strategy of proof, presented in paragraph 2.5, follows the same lines (see [18], and also the recent complementary article [10]). There are several results of this type in the literature but none of them seems to contain Theorem 2.10 as a corollary; in our setting, the space \mathcal{H} is not assumed to be locally compact, and the action of G is not assumed to be proper. This is crucial for application to the Cremona group: In this case, the space \mathcal{H} is locally homeomorphic to a non-separable Hilbert space, and the stabilizers of points in G are algebraic groups, like $\text{PGL}_3(\mathbf{k}) = \text{Aut}(\mathbb{P}_{\mathbf{k}}^2)$.

2.11. b.— Theorem 2.10 applies in particular to groups acting by isometries on trees: This includes the situations of a free group acting on its Cayley graph, or of an amalgamated product over two factors acting on its Bass-Serre tree.

It is a useful exercise, which is done in [44], to write down the proof in this particular case ; the proofs of the technical lemmas 2.13 and 2.16 become much more transparent in this setting because one does not need approximations by trees.

2.11. c.— In the definition of a tight element, we could impose a weaker list of hypothesis. The main point would be to replace $Ax(g)$ by a long quasi-geodesic segment (obtained, for example, by taking an orbit of a point x in $\text{Min}(g)$); this would give a similar statement, without assuming that g has an invariant axis. Here, we take this slightly more restrictive definition because it turns out to be sufficient for our purpose, and it makes the proof less technical; we refer to [18] or to the recent work [16] for more general viewpoints. We refer to Section 6.3 for extensions and improvements of Theorem 2.10.

We now prove Theorem 2.10. First we need to introduce the notion of an admissible presentation.

2.4. Pieces, neutral segments and admissible presentations. Let $g \in G$ be a hyperbolic isometry with an invariant axis; let $Ax(g)$ be such an axis (see Remark 2.7), and $L = L(g)$ be the translation length of g . All isometries that are conjugate to g have an invariant axis: If $f = sgs^{-1}$, then $s(Ax(g))$ is an invariant axis for f .

2.4.1. Axis, pieces, and neutral segments. Let $[x, y] \subset \mathcal{H}$ be an oriented geodesic segment, the length of which is at least 20θ . The segment $[x, y]$ is a **piece** if there exists an element s in G such that $[x, y]$ is contained in the tubular neighborhood $\text{Tub}_{7\theta}(s(Ax(g)))$. If $[x, y]$ is a piece, the conjugates $f = sgs^{-1}$ of g and $f^{-1} = sg^{-1}s^{-1}$ of g^{-1} have the same invariant axis $\Gamma = s(Ax(g))$, and this axis almost contains $[x, y]$. Changing f to f^{-1} if necessary, we can assume that $\pi_\Gamma(y)$ and $f(\pi_\Gamma(x))$ lie on the same side¹ of $\pi_\Gamma(x)$ in Γ . This assumption made, the isometry f is called a **support** of $[x, y]$ (and so f^{-1} is a support of the piece $[y, x]$). The segment $[x, y]$ is a **piece of size** p/q if furthermore $d(x, y) \geq \frac{p}{q}L$. We say that $[x, y]$ **contains a piece of size** p/q if there is a segment $[x', y'] \subset [x, y]$ which is such a piece.

A pair of points (x, y) is **neutral** if none of the geodesic segments $[x, y]$ between x and y contains a piece of size $11/20$; by a slight abuse of notation, we also say that the segment $[x, y]$ is neutral if this property holds (even if there are a priori several segments from x to y). If $[x, y]$ is neutral and f is an element of the group G , then $f([x, y])$ is also neutral; in other words, being neutral is invariant by translation under isometries $f \in G$.

¹ Since $d(x, y) \geq 20\theta$, this assumption is meaningful: It does not depend on the choices of the projections of x and y on $Ax(f)$.

Our choice of working with $L/20$ as a unit has no particular significance; we use it for convenience.

2.4.2. Admissible presentations. Let h be an element of the normal subgroup $\langle\langle g \rangle\rangle \subset G$. We can write h as a product $h = h_k h_{k-1} \cdots h_1$ where each h_j is a conjugate of g or its inverse:

$$\forall 1 \leq i \leq k, \quad \exists s_i \in G, \quad h_i = s_i g s_i^{-1} \text{ or } s_i g^{-1} s_i^{-1}.$$

By convention, each of the h_i comes with $s_i \in G$ and thus with an invariant axis $\text{Ax}(h_i) = s_i(\text{Ax}(g))$; thus, the choice of s_i is part of the data (s_i could be changed into $s_i t$ with t in the centralizer of g).

We fix a base point $x_0 \in \mathcal{H}$. Let us associate three sequences of points (a_i) , (b_i) , and (x_i) , $1 \leq i \leq k$, to the given base point x_0 and the factorization of h into the product of the h_i . Namely, for all $1 \leq i \leq k$, we first set:

- x_i is equal to $h_i(x_{i-1})$; in particular $x_k = h(x_0)$;
- a_i is the projection of x_{i-1} on the geodesic line $\text{Ax}(h_i)$;
- b_i is equal to $h_i(a_i)$; in particular, both a_i and b_i are on $\text{Ax}(h_i)$.

However we do not want the distances $d(x_{i-1}, a_i) = d(b_i, x_i)$ to be too small. Thus, if $d(x_{i-1}, a_i) \leq 10\theta$, we translate a_i towards b_i on a distance of 12θ , and similarly we translate b_i towards a_i . This defines the three sequences (x_i) , (a_i) and (b_i) .

Lemma 2.12. *If the translation length L of g is larger than 480θ then the following properties hold:*

- (1) Each $[a_i, b_i]$ is a subsegment of $\text{Ax}(h_i)$ of length at least $\frac{19}{20}L$;
- (2) $(x_{i-1}|b_i)_{a_i} \leq 2\theta$ and $(a_i|x_i)_{b_i} \leq 2\theta$;
- (3) all segments $[x_{i-1}, a_i]$ and $[b_i, x_i]$ have length at least 10θ (for $1 \leq i \leq k$).

Proof. Since we performed some translations when $[x_{i-1}, a_i]$ was too small, we have Property (3). The segment $[a_i, b_i]$ was initially of length L , so the first property remains true as long as $\frac{L}{20} \geq 24\theta$, which is our assumption. Property (2) follows from Lemma 2.3. \square

We say that $h_k \cdots h_1$ is an **admissible presentation** of h (with respect to the base point x_0) if the three sequences (x_i) , (a_i) , and (b_i) have the additional property that all pairs (x_{i-1}, a_i) , $1 \leq i \leq k$, are neutral. It follows that all pairs (b_j, x_j) are also neutral, because the property of being neutral is stable under translation by isometries.

Lemma 2.13. *Let x_0 be a base point in \mathcal{H} . Let g be an element of G , and h be an element of the normal subgroup generated by g . Assume that the translation length of g satisfies $28\theta < \frac{L(g)}{20}$. Then h admits at least one admissible presentation.*

Remark 2.14. Thanks to this lemma, the following property can be added to the first three properties listed in Lemma 2.12:

- (4) *All pairs (x_{i-1}, a_i) and (b_i, x_i) are neutral.*

Lemma 2.13 corresponds to Lemma 2.2 in [18]. We give a complete proof because it is more involved in our case.

Proof of Lemma 2.13. As before, denote by L the translation length $L(g)$. Start with a decomposition $h = h_k \cdots h_1$ with $h_i = s_i g^{\pm 1} s_i^{-1}$ and construct the sequences of points (a_i) , (b_i) , and (x_i) as above. Let \mathcal{I} be the set of indices $1 \leq i \leq k$ such that (x_{i-1}, a_i) is not neutral. Suppose \mathcal{I} is not empty (otherwise we are done). Our goal is to modify the construction in order to get a new decomposition of h which is admissible.

Changing the decomposition.— Pick $i \in \mathcal{I}$. Then there are two geodesic segments $[y, z] \subset [x_{i-1}, a_i]$ (with $y \in [x_{i-1}, z]$) and a conjugate $f = sgs^{-1}$ of g such that $[y, z]$ is 7θ -close to $\text{Ax}(f) = s(\text{Ax}(g))$ and $d(y, z) \geq \frac{11}{20}L$; we fix such a segment $[y, z]$ with a maximal length. Let y', z' be projections of y and z on $\text{Ax}(f)$; we have $d(y, y') \leq 7\theta$ and $d(z, z') \leq 7\theta$. If y' is contained in the segment $[f(y'), z'] \subset \text{Ax}(f)$, we change f into f^{-1} . Replace h_i by the product of three conjugates of g or g^{-1}

$$(h_i f^{-1} h_i^{-1}) h_i f.$$

This gives rise to a new decomposition of h as a product of conjugates of $g^{\pm 1}$, hence to new sequences of points. Let a'_i be a projection of x_{i-1} on $\text{Ax}(f)$. Concerning the sequence (x_i) , we have two new points $x'_i = f(x_{i-1})$ and $x'_{i+1} = h_i(x'_i)$; the point $x'_{i+2} = h_i f^{-1} h_i^{-1}(x'_{i+1})$ is equal to the old point $x_i = h_i(x_{i-1})$. Thus, the neutral pair (x_{i-1}, a_i) disappears and is replaced by three new pairs (x_{i-1}, a'_i) , (x'_i, a'_{i+1}) , and (x'_{i+1}, a'_{i+2}) (see Figure 1). Note that if any of these segments is small then it is automatically neutral; so without loss of generality we can assume that there was no need to move a'_i , a'_{i+1} or a'_{i+2} as in Lemma 2.12.

Two estimates.— Our first claim is

$$(1) \quad d(x_{i-1}, a'_i) = d(x'_{i+1}, a'_{i+2}) \leq d(x_{i-1}, a_i) - \frac{10}{20}L.$$

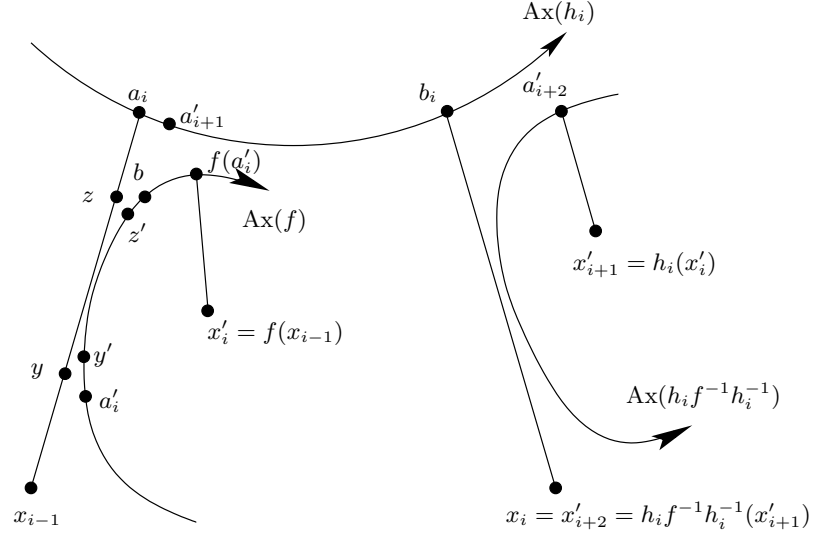


FIGURE 1.

To prove it, we write

$$d(x_{i-1}, a_i) \geq d(x_{i-1}, y) + d(y, z) \geq d(x_{i-1}, y) + \frac{11}{20}L,$$

and

$$d(x_{i-1}, a'_i) \leq d(x_{i-1}, y') \leq d(x_{i-1}, y) + d(y, y') \leq d(x_{i-1}, y) + 7\theta; \quad (2.3)$$

claim (1) follows because $7\theta < \frac{L}{20}$.

Our second claim is

$$(2) \quad d(x'_i, a'_{i+1}) \leq d(x_{i-1}, a_i) - \frac{1}{20}L.$$

Let us postpone the proof of this second estimate, and deduce the lemma from these two inequalities.

Conclusion.— Since the modification is local, and does not change the points a_j for $j \neq i$, we can perform a similar replacement for all indices i in \mathcal{I} . We obtain a new presentation for h and a new list of bad indices \mathcal{I}' . Either this new list is empty, or by the two estimates (claims (1) and (2)) the maximum of the lengths $d(x_{j-1}, a_j)$ over all the non neutral pairs (x_{j-1}, a_j) , $j \in \mathcal{I}'$, drops at least by $\frac{1}{20}L$. By induction, after a finite number of such replacements, we obtain an admissible presentation.

Proof of the second estimate.— To prove estimate (2), denote by b the projection of a_i on $\text{Ax}(f)$. Similarly as (2.3) we have

$$d(b, a_i) \leq d(z, a_i) + 7\theta. \quad (2.4)$$

There are two cases, according to the position of $f(a'_i)$ with respect to the segment $[a'_i, b] \subset \text{Ax}(f)$. If $f(a'_i)$ is in this segment, then

$$\begin{aligned} d(x'_i, a_i) &\leq d(f(x_{i-1}), f(a'_i)) + d(f(a'_i), b) + d(b, a_i) \\ &\leq d(x_{i-1}, a'_i) + d(a'_i, b) - L + d(b, a_i). \end{aligned}$$

Applying Lemma 2.3 for the triangles x_{i-1}, y', a'_i and a_i, z', b , and the inequalities $d(y, y'), d(z, z') \leq 7\theta$, we get $d(x_{i-1}, y) = d(x_{i-1}, a'_i) + d(y, a'_i)$ up to an error of 11θ , and similarly $d(a_i, z) = d(a_i, b) + d(z, b)$ up to 11θ . Hence, we get

$$\begin{aligned} d(x'_i, a_i) &\leq d(x_{i-1}, y) + d(y, z) + d(z, a_i) - L + 22\theta \\ &\leq d(x_{i-1}, a_i) - L + 22\theta. \end{aligned}$$

This concludes the proof of (2) in the first case, because $-L + 22\theta < -L/20$.

The second case occurs when b is in the segment $[a'_i, f(a'_i)] \subset \text{Ax}(f)$ (see Figure 1). In this case we have

$$\begin{aligned} d(x'_i, a_i) &\leq d(f(x_{i-1}), f(a'_i)) + d(f(a'_i), b) + d(b, a_i) \\ &\leq d(x_{i-1}, z) - \frac{11}{20}L + 7\theta + L - d(a'_i, b) + d(z, a_i) + 7\theta, \end{aligned}$$

and thus

$$d(x'_i, a_i) \leq d(x_{i-1}, a_i) - d(a'_i, b) + \frac{9}{20}L + 14\theta. \quad (2.5)$$

On the other hand, the triangular inequality implies

$$\begin{aligned} d(x_{i-1}, a'_i) + d(a'_i, b) + d(b, a_i) &\geq d(x_{i-1}, a_i) \\ &= d(x_{i-1}, y) + d(y, z) + d(z, a_i). \end{aligned}$$

and so

$$d(a'_i, b) \geq \frac{11}{20}L + d(x_{i-1}, y) - d(x_{i-1}, a'_i) + d(z, a_i) - d(b, a_i).$$

Using the inequalities (2.3) and (2.4) we obtain

$$d(a'_i, b) \geq \frac{11}{20}L - 14\theta.$$

Finally inequality (2.5) gives

$$d(x'_i, a'_{i+1}) \leq d(x'_i, a_i) \leq d(x_{i-1}, a_i) - \frac{2}{20}L + 28\theta$$

hence claim (2) because $28\theta < \frac{L}{20}$. \square

The following lemma provides a useful property of admissible presentations with a minimum number of factors h_i .

Lemma 2.15. *Let $h = h_k \cdots h_1$ be an admissible presentation with base point x_0 . If there exist two indices $j > i$ such that $h_j = h_i^{-1}$, then h admits an admissible presentation with base point x_0 and only $k - 2$ factors.*

Proof. We may assume that $j \geq i + 2$, otherwise the simplification is obvious. The decomposition for h is then

$$h = h_k \cdots h_{j+1} h_i^{-1} h_{j-1} \cdots h_{i+1} h_i h_{i-1} \cdots h_1.$$

Note that i can be equal to 1, and j can be equal to k . We have a sequence of triplets (a_i, b_i, x_i) , $i = 1, \dots, k$, associated with this presentation and with the base point x_0 . Then we claim that

$$h = h_k \cdots h_{j+1} (h_i^{-1} h_{j-1} h_i) (h_i^{-1} h_{j-2} h_i) \cdots (h_i^{-1} h_{i+1} h_i) h_{i-1} \cdots h_1$$

is another admissible presentation with base point x_0 and with $k - 2$ factors. Indeed the sequence of $k - 2$ triplets associated with this new presentation is

$$(a_1, b_1, x_1), \dots, (a_{i-1}, b_{i-1}, x_{i-1}), (h_i^{-1}(a_{i+1}), h_i^{-1}(b_{i+1}), h_i^{-1}(x_{i+1})), \dots, \\ (h_i^{-1}(a_{j-1}), h_i^{-1}(b_{j-1}), h_i^{-1}(x_{j-1})), (a_{j+1}, b_{j+1}, x_{j+1}), \dots, (a_k, b_k, x_k)$$

and one checks that all relevant segments are neutral because they are obtained from neutral segments of the previous presentation by isometric translations (either by Id or by h_i). \square

2.5. Proof of the normal subgroup theorem. Let g be an element of G which satisfies the small cancellation property. By definition, g is a tight element of G , its axis is $(14\theta, B)$ -rigidity for some $B > 0$, and

$$\frac{1}{20}L(g) \geq 60\theta + 2B.$$

Denote by L the translation length $L(g)$. Let h be a non trivial element of the normal subgroup $\langle\langle g \rangle\rangle$. Our goal is to prove $L(h) \geq L$, with equality if and only if h is conjugate to g .

Pick a base point x_0 such that $d(x_0, h(x_0)) \leq L(h) + \theta$. Lemma 2.13 applied to g implies the existence of an admissible presentation with respect to the base point x_0 :

$$h = h_m \circ \cdots \circ h_1, \quad h_i = s_i g^{\pm 1} s_i^{-1}.$$

We assume that m is minimal among all such choices of base points and admissible presentations. Lemma 2.15 implies that h_j is different from h_i^{-1} for all $1 \leq i < j \leq m$.

Let $(a_i), (b_i), (x_i)$ be the three sequences of points defined in §2.4; they satisfy the properties (1) to (4) listed in Lemma 2.12 and Remark 2.14. Since the constructions below are more natural with segments than pairs of points, and \mathcal{H}

is not assumed to be uniquely geodesic, we choose geodesic segments between the points x_i , as well as geodesic segments $[a_i, b_i] \subset \text{Ax}(h_i)$.

We shall say that three ordered points x, y, z in \mathcal{H} are **almost aligned** if $(x|w)_y \leq 3\theta$ for every point w of $[y, z]$.

Lemma I. *Let $\Phi: X \rightarrow T$ be an approximation tree, and $x, y, z \in X$ such that $\Phi(y) \in [\Phi(x), \Phi(z)]$. Then x, y, z are almost aligned.*

Proof. Consider another approximation tree $\Psi: X' \rightarrow T'$ of (y, x, z) , and pick $w \in [y, z]$. By Corollary 2.2 We have

$$\begin{aligned} (x|w)_y &\leq (\Psi(x)|\Psi(w))_{\Psi(y)} \\ &\leq (\Psi(x)|\Psi(z))_{\Psi(y)} \\ &\leq (x|z)_y + \frac{\theta}{2} \\ &\leq (\Phi(x)|\Phi(z))_{\Phi(y)} + \theta + \frac{\theta}{2} \\ &= \frac{3\theta}{2} \end{aligned}$$

as required (we even have a margin of $\frac{3\theta}{2}$). \square

Remark.— In fact the previous lemma also implies that for any point $q \in [a_{j+1}, b_{j+1}]$, the points q, b_{j+1}, x_{j+1} are almost aligned: indeed the proof of Lemma 2.3 consists in showing that there exists an approximation tree where the images of these three points are aligned.

We now introduce the following definition in order to state the key Lemma 2.16. A sequence of points $(c_{-1}, c_0, \dots, c_k, c_{k+1})$ in \mathcal{H} , with some choice of segments $[c_i, c_{i+1}]$, $-1 \leq i \leq k$, is a **configuration of order $k \geq 1$** for the segment $[x_0, x_j]$ if

- (i) $x_0 = c_{-1}$ and $x_j = c_{k+1}$;
- (ii) For all $0 \leq i \leq k$, if $d(c_i, c_{i+1}) > 17\theta$ then c_{i-1}, c_i and c_{i+1} are almost aligned (in particular $(c_{i-1}|c_{i+1})_{c_i} \leq 3\theta$);
- (iii) For all $0 \leq i \leq k-1$, if $d(c_i, c_{i+1}) \leq 17\theta$ then c_{i-1}, c_{i+1} and c_{i+2} are almost aligned;
- (iv) For all $0 \leq i \leq k$ the segment $[c_i, c_{i+1}]$ is either neutral or a piece, with the following rules:
 - (iv-a) There are never two consecutive neutral segments;
 - (iv-b) The last segment $[c_k, c_{k+1}] = [c_k, x_j]$ is neutral;
 - (iv-c) The second segment $[c_0, c_1]$ is a piece of size $18/20$ if $[c_1, c_2]$ is neutral (this is always the case when $k = 1$), and of size $17/20$ otherwise;
 - (iv-d) For the other pieces $[c_{i-1}, c_i]$, with $i > 1$, the size is $5/20$ when $[c_i, c_{i+1}]$ is neutral and $4/20$ otherwise;

- (v) For all $0 \leq i \leq k$, if $[c_i, c_{i+1}]$ is a piece, then there is an index l with $1 \leq l \leq j$, such that h_l is the support of the piece $[c_i, c_{i+1}]$.

Note that properties (iv) and (v) do not concern the initial segment $[x_0, c_0]$, and that the size p/q of a piece $[c_i, c_{i+1}]$, $0 \leq i \leq k - 1$, is **bounded from below** by $18/20$, $17/20$, $5/20$, or $4/20$; moreover, this size is computed with respect to $L = L(g)$, and thus the minimum length of a piece $[c_i, c_{i+1}]$ is bounded from below by $4(60\theta + 2B)$.

If $d(c_i, c_{i+1}) \leq 17\theta$, we shall say that the segment $[c_i, c_{i+1}]$ is **short**; such segments are neutral. By condition (iv-a) there are never two consecutive short segments. We also define **good points** to be the points c_i such that $[c_i, c_{i+1}]$ is not short.

The following lemma is inspired by Lemma 2.4 in [18]. As mentioned there, this can be seen as a version of the famous Greendlinger Lemma in classical small cancellation theory. Recall that this lemma claims the existence of a region with a large external segment in a van Kampen diagram (see [46], Chapter V). The segment $[c_0, c_1]$ in the previous definition plays a similar role. One can consult [44] for a simpler proof of Lemma 2.16 and Theorem 2.10 in the case of a group acting on a tree, and for small cancellation theory in the context of $\text{Aut}[\mathbf{k}^2]$ and its amalgamated product structure.

Lemma 2.16. *For each $j = 1, \dots, m$, there exists $k \geq 1$ such that the segment $[x_0, x_j]$ admits a configuration of order k . Moreover if $j \geq 2$ and $k = 1$ then the first segment $[x_0, c_0]$ of the configuration has length at least $\frac{3}{20}L$.*

Proof. The proof is by induction on j , and uses the four properties that are listed in Lemma 2.12 and Remark 2.14; we refer to them as properties (1), (2), (3), and (4). Note that (2) and (3) enable us to apply Lemma 2.6; similarly, properties (ii) and (iii) for a configuration of order k show that Lemma 2.6 can be applied to the sequence of **good points in such a configuration (as shown below)**.

Initialization.— When $j = 1$, we take $c_0 = a_1, c_1 = b_1$ and get a configuration of order 1. Indeed, by property (2), we have

$$(x_0|b_1)_{a_1} \leq 2\theta \text{ and } (a_1|x_1)_{b_1} \leq 2\theta,$$

and, by property (1), $[c_0, c_1]$ is a piece of size $19/20$ (it is a subsegment of $\text{Ax}(h_1)$). The segments $[x_0, c_0]$ and $[x_1, c_1]$ are neutral (property (4)) and of length at least 10θ (property (3)).

Suppose now that $[x_0, x_j]$ admits a configuration of order k . We want to find a configuration of order k' for $[x_0, x_{j+1}]$. As we shall see, the proof provides a

configuration of order $k' = 1$ in one case, and of order $k' \leq k+2$ in the other case.

Six preliminary facts.— Consider the approximation tree (Φ, T) of (x_j, x_0, x_{j+1}) . We choose $p \in [x_j, x_0]$ such that $\Phi(p) \in T$ is the branch point of the tripod T (with $p = x_j$ if T is degenerate). Let a (resp. b) be a projection of a_{j+1} (resp. b_{j+1}) on the segment $[x_j, x_{j+1}]$. By assertion (3) in Lemma 2.6 we have $d(a, a_{j+1}) \leq 5\theta$ and $d(b, b_{j+1}) \leq 5\theta$. Thus $d(a, b) \geq \frac{19L}{20} - 10\theta$, and by Lemma 2.5, $[a, b]$ is a piece with support h_{j+1} .

For all $i \leq k+1$, note c'_i a projection of c_i on the segment $[x_0, x_j]$. When applied to the set of good points, Lemma 2.6 implies that the good points c_i satisfy $d(c_i, c'_i) \leq 5\theta$ and their projections c'_i form a monotonic sequence of points from x_0 to x_j along the geodesic segment $[x_0, x_j]$. More precisely, properties (ii) and (iii) imply that three consecutive good points always satisfy $(a|c)_b \leq (7/2)\theta$. The upper bound is 3θ except in two cases. The first is when $(a, b, c) = (c_{i-1}, c_i, c_{i+2})$ and c_{i+1} is not good : in that case, one has $(c_{i-1}|c_{i+1})_{c_i} \leq 3\theta$, c_{i-1} , c_i and c_{i+2} are good points by (iv), and $d(c_{i+1}, c_{i+2}) \leq 17\theta$. Taking an approximation tree for $(c_i, c_{i-1}, c_{i+1}, c_{i+2})$ gives the desired inequality $(c_{i-1}|c_{i+2})_{c_i} \leq (7/2)\theta$. The second, which occurs when $(a, b, c) = (c_{i-2}, c_i, c_{i+2})$ and the points c_{i-1} and c_{i+1} are not good, is dealt with similarly.

Let S_i be the interval of T defined by $S_i = [\Phi(a), \Phi(b)] \cap [\Phi(c'_i), \Phi(c'_{i+1})]$. The preimages of S_i by Φ are two intervals $I \subset [a, b]$ and $I' \subset [c'_i, c'_{i+1}]$ such that

$$\Phi(I) = \Phi(I') = S_i.$$

Fact 2.17. *If $[c_i, c_{i+1}]$ is neutral then $\text{diam}(S_i) \leq \frac{12}{20}L$.*

This is automatic if $[c_i, c_{i+1}]$ is short. We now assume that $d(c_i, c_{i+1}) \geq 17\theta$. Then, $d(c_i, c'_i) \leq 5\theta$ and $d(c_{i+1}, c'_{i+1}) \leq 5\theta$. Since Φ is an isometry along the geodesic segments $[x_j, x_0]$ and $[x_j, x_{j+1}]$, we only have to prove $\text{diam}(I') \leq \frac{12}{20}L$. By Lemma 2.5 we know that $[c_i, c_{i+1}] \subset \text{Tub}_{7\theta}([c'_i, c'_{i+1}])$. Thanks to the triangular inequality, we can choose $J \subset [c_i, c_{i+1}]$ such that $J \subset \text{Tub}_{7\theta}(I')$ and $\text{diam}(J) \geq \text{diam}(I') - 14\theta$. The properties of the approximation tree imply $I' \subset \text{Tub}_\theta(I)$, and $I \subset \text{Tub}_{7\theta}(\text{Ax}(h_{j+1}))$. Thus $J \subset \text{Tub}_{15\theta}(\text{Ax}(h_{j+1}))$. Applying Lemma 2.4 (with $\beta = 16\theta$) and shortening J by 32θ (16θ at each end), we obtain $\text{diam}(J) \geq \text{diam}(I') - 46\theta$ and $J \subset \text{Tub}_{2\theta}(\text{Ax}(h_{j+1}))$. Thus J is a piece contained in the neutral segment $[c_i, c_{i+1}]$, hence

$$\frac{11}{20}L \geq \text{diam}(J) \geq \text{diam}(I') - 46\theta, \quad \text{and therefore} \quad \frac{12}{20}L \geq \text{diam}(I').$$

Fact 2.18. *If $[c_i, c_{i+1}]$ is a piece then $\text{diam}(S_i) \leq B$.*

By property (v), there exists an index l , with $1 \leq l \leq j$, such that $[c_i, c_{i+1}] \subset \text{Tub}_{7\theta}(\text{Ax}(h_l))$. Since $I' \subset \text{Tub}_{7\theta}([c_i, c_{i+1}])$, we get

$$I' \subset \text{Tub}_{14\theta}(\text{Ax}(h_l)).$$

On the other hand $I' \subset \text{Tub}_\theta(I)$ and $I \subset \text{Tub}_{7\theta}(\text{Ax}(h_{j+1}))$, thus

$$I' \subset \text{Tub}_{8\theta}(\text{Ax}(h_{j+1})).$$

If $\text{diam}(I') > B$, the rigidity assumption shows that h_{j+1} and h_l share the same axis, with opposite orientations; since g is tight, we obtain $h_{j+1} = h_l^{-1}$. By Lemma 2.15 this contradicts the minimality of the presentation of h . This proves that $\text{diam}(I') \leq B$.

Fact 2.19. *Suppose $[c_i, c_{i+1}]$ is a piece. Then*

$$\text{diam}([\Phi(x_j), \Phi(a)] \cap [\Phi(c'_i), \Phi(c'_{i+1})]) \leq \frac{12}{20}L.$$

By property (v), there exists an index l , with $1 \leq l \leq j$, such that h_l is the support of $[c_i, c_{i+1}]$. Let $K \subset [a, x_j]$ and $K' \subset [c'_i, c'_{i+1}]$ be two intervals such that

$$\Phi(K) = \Phi(K') = [\Phi(x_j), \Phi(a)] \cap [\Phi(c'_i), \Phi(c'_{i+1})].$$

We want to prove $\text{diam}(K) \leq \frac{12}{20}L$. Applying the triangular inequality, we can choose $J \subset [a_{j+1}, x_j]$ such that $J \subset \text{Tub}_{7\theta}(K)$ and $\text{diam}(J) \geq \text{diam}(K) - 14\theta$. Now we have $K \subset \text{Tub}_\theta(K')$, $K' \subset \text{Tub}_{7\theta}([c_i, c_{i+1}])$ and $[c_i, c_{i+1}] \subset \text{Tub}_{7\theta}(\text{Ax}(h_l))$. Thus $J \subset \text{Tub}_{22\theta}(\text{Ax}(h_l))$. Applying Lemma 2.4 with $\beta = 23\theta$, we shorten J by 46θ (23θ on each end) and obtain

$$J \subset \text{Tub}_{2\theta}(\text{Ax}(h_l)) \quad \text{and} \quad \text{diam}(J) \geq \text{diam}(K) - 60\theta.$$

The admissibility condition implies that $J \subset [a_{j+1}, x_j]$ is neutral, and therefore

$$\frac{11}{20}L \geq \text{diam}(J) \geq \text{diam}(K) - 60\theta, \quad \text{so that} \quad \frac{12}{20}L \geq \text{diam}(K).$$

Fact 2.20. *The segment $[\Phi(b), \Phi(a)]$ is not contained in the segment $[\Phi(c'_0), \Phi(x_j)]$.*

Let us prove this by contradiction, assuming $[\Phi(b), \Phi(a)] \subset [\Phi(c'_0), \Phi(x_j)]$. By Property (iv-a) and Fact 2.17, $[\Phi(b), \Phi(a)]$ intersects at least one segment $[\Phi(c'_i), \Phi(c'_{i+1})]$ for which $[c_i, c_{i+1}]$ is a piece; Fact 2.18 implies that $[\Phi(c'_i), \Phi(c'_{i+1})]$ is not contained in $[\Phi(a), \Phi(b)]$ (it must intersect the boundary points of $[\Phi(a), \Phi(b)]$). From this follows that $[\Phi(a), \Phi(b)]$ intersects at most two pieces and one neutral segment. Facts 2.17 and 2.18 now give the contradictory inequality $2B + \frac{12}{20}L \geq \frac{19}{20}L - 10\theta$.

Fact 2.21. *The segment $[\Phi(c'_0), \Phi(c'_1)]$ is not contained in the segment $[\Phi(x_{j+1}), \Phi(x_j)]$.*

Since $[a_{j+1}, x_j]$ is neutral and $[c_0, c_1]$ is a piece of size $\geq 17/20$, the segment $[\Phi(c'_0), \Phi(c'_1)]$ is not contained in $[\Phi(a_{j+1}), \Phi(x_j)]$. Assume that $[\Phi(c'_0), \Phi(c'_1)] \subset [\Phi(x_{j+1}), \Phi(x_j)]$, apply Fact 2.20 and then Fact 2.18 and Fact 2.19; this gives the contradictory inequality $B + \frac{12}{20}L \geq \frac{17}{20}L - 10\theta$.

These last two facts imply $\Phi(b) \in [\Phi(x_{j+1}), \Phi(p)]$ and $\Phi(c'_0) \in [\Phi(x_0), \Phi(p)]$. Moreover, with this new property in mind, the proofs of Facts 2.20 and 2.21 give:

Fact 2.22. *The segment $[\Phi(b), \Phi(p)]$ has length at least $\frac{6}{20}L$, and the segment $[\Phi(c'_0), \Phi(p)]$ has length at least $\frac{4}{20}L$.*

In particular the tripod T is not degenerate at $\Phi(x_0)$ nor at $\Phi(x_{j+1})$.

The induction.— We now come back to the proof by induction. We distinguish two cases, with respect to the position of $\Phi(a)$ relatively to the branch point $\Phi(p)$.

• **First case.** $(\Phi(b)|\Phi(x_0))_{\Phi(a)} \leq \frac{1}{20}L - 12\theta$.

In other words we assume that either $\Phi(a) \in [\Phi(b), \Phi(p)]$, or $\Phi(a)$ is close to $\Phi(p)$. Note that this includes the situation where $\Phi(x_j)$ is a degenerate vertex of T . By Fact 2.22, the situation is similar to Figure 2. Since the distance between a_{j+1} (resp. b_{j+1}) and a (resp. b) is at most 5θ , the triangular inequality and Corollary 2.2 imply

$$\begin{aligned} (b_{j+1}|x_0)_{a_{j+1}} &\leq (b|x_0)_a + (10\theta + 5\theta + 5\theta)/2 \\ &\leq (\Phi(b)|\Phi(x_0))_{\Phi(a)} + \theta + 10\theta, \end{aligned}$$

and the assumption made in this first case gives

$$(b_{j+1}|x_0)_{a_{j+1}} \leq \frac{1}{20}L - \theta. \tag{2.6}$$

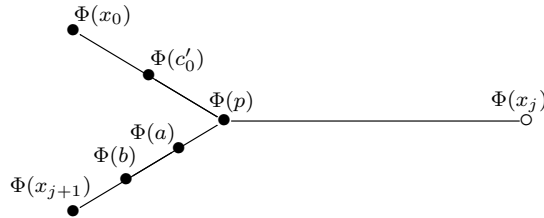


FIGURE 2. The point $\Phi(a)$ could also be on $[\Phi(p), \Phi(x_j)]$, but not far from $\Phi(p)$.

At this point we would like to define a configuration of order 1 for $[x_0, x_{j+1}]$ by using a and b . The problem is that since the property to be a neutral segment

is not stable under perturbation, there is no guarantee that $[b, x_{j+1}]$ is neutral even if $[b_{j+1}, x_{j+1}]$ is.

Other candidates would be a_{j+1} and b_{j+1} , but then we would not have the estimate (ii) in the definition of a configuration of order k .

To solve this dilemma we consider another approximation tree $\Psi: X \mapsto T'$, for the list (a_{j+1}, b_{j+1}, x_0) , and choose a point $q \in [a_{j+1}, b_{j+1}]$ such that $\Psi(q)$ is the branch point of T' (see Figure 3).

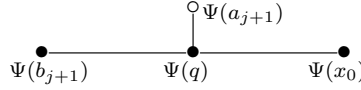


FIGURE 3.

We then define a new configuration of points $\hat{c}_{-1} = x_0$, $\hat{c}_0 = q$, $\hat{c}_1 = b_{j+1}$, $\hat{c}_2 = x_{j+1}$, and we show that this defines a configuration of order 1 for $[x_0, x_{j+1}]$. Using inequality (2.6), the fact that Ψ is an isometry along $[a_{j+1}, b_{j+1}]$, and Corollary 2.2, we obtain

$$d(q, b_{j+1}) \geq \frac{19}{20}L - (b_{j+1}|x_0)_{a_{j+1}} - \theta \geq \frac{18}{20}L.$$

Thus $[q, b_{j+1}]$ is a piece of size $18/20$ with support h_{j+1} : This gives properties (iv-c) and (v).

By Lemma I, and the remark after its proof, the points q , b_{j+1} and x_{j+1} are almost aligned, and x_0 , q and b_{j+1} are almost aligned too. So we obtain property (ii); since $[q, b_{j+1}]$ is a piece it is not short, hence property (iii) is automatic for this new configuration. Thus, $(\hat{c}_j)_{-1 \leq j \leq 2}$ is a configuration of order 1 for the segment $[x_0, x_{j+1}]$.

Moreover, we have

$$\begin{aligned} d(x_0, q) &\geq (\Psi(a_{j+1})|\Psi(b_{j+1}))_{\Psi(x_0)} \\ &\geq (a_{j+1}|b_{j+1})_{x_0} - \theta \\ &\geq (a|b)_{x_0} - 11\theta \\ &\geq (\Phi(a)|\Phi(b))_{\Phi(x_0)} - 12\theta \\ &\geq d(\Phi(x_0), \Phi(p)) - 12\theta. \end{aligned}$$

Fact 2.22 then gives

$$d(x_0, q) \geq \frac{4}{20}L - 12\theta \geq \frac{3}{20}L$$

so we obtain the second assertion in Lemma 2.16.

• **Second case.** $(\Phi(b)|\Phi(x_0))_{\Phi(a)} > \frac{1}{20}L - 12\theta$.

Let i be the **smallest** index such that $\Phi(p) \in [\Phi(c'_i), \Phi(c'_{i+1})]$. This index is uniquely defined if we impose $\Phi(c'_i) \neq \Phi(p)$. The assumption implies $\Phi(a) \in [\Phi(p), \Phi(x_j)]$ and $d(\Phi(p), \Phi(a)) > \frac{1}{20}L - 12\theta$. By Fact 2.22 again, the situation is similar to Figure 4. We distinguish two subcases according to the nature of $[c_i, c_{i+1}]$.

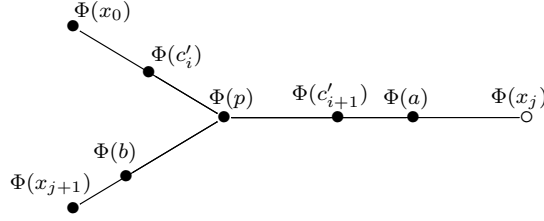


FIGURE 4. On this picture, $\Phi(c'_{i+1})$ is in between $\Phi(p)$ and $\Phi(a)$; another possible case would be $\Phi(a) \in [\Phi(p), \Phi(c'_{i+1})]$.

Second case - first subcase. Assume $[c_i, c_{i+1}]$ is neutral. Then if $i < k$ the segment $[c_{i+1}, c_{i+2}]$ is a piece (if $i = k$ the following discussion is even easier). If $d(\Phi(p), \Phi(c'_{i+1})) \leq 48\theta$ then Fact 2.18 implies $d(\Phi(p), \Phi(a)) \leq B + 48\theta \leq \frac{1}{20}L - 12\theta$. This contradicts the assumption of the second case; as a consequence,

$$\min\{d(\Phi(p), \Phi(c'_{i+1})), d(\Phi(p), \Phi(a))\} > 48\theta > 34\theta. \quad (2.7)$$

In particular, $[c_i, c_{i+1}]$ is not short: if it were, we would get $d(c'_{i+1}, c_i) \leq 5\theta + 17\theta = 22\theta$ (because c_{i+1} is good) and thus $d(c'_i, c'_{i+1}) \leq d(c'_i, c_i) + d(c'_{i+1}, c_i) \leq 2d(c'_{i+1}, c_i) \leq 44\theta < 48\theta$. As a consequence, c_{i-1} , c_i and c_{i+1} are good points. Consider now the approximation tree $\Psi: X \mapsto T'$ of $(c_{i+1}, c_{i-1}, c_i, a_{j+1}, b_{j+1})$. We have

$$\begin{aligned} (\Psi(c_{i+1})|\Psi(a_{j+1}))_{\Psi(b_{j+1})} &\geq (c'_{i+1}|a)_b - 15\theta - \theta \\ &\geq (\Phi(c'_{i+1})|\Phi(a))_{\Phi(b)} - 17\theta \\ &\geq d(\Phi(b), \Phi(p)) - 17\theta \\ &\quad + \min\{d(\Phi(p), \Phi(c'_{i+1})), d(\Phi(p), \Phi(a))\} \end{aligned}$$

and

$$\begin{aligned} (\Psi(c_i)|\Psi(a_{j+1}))_{\Psi(b_{j+1})} &\leq (c'_i|a)_b + 15\theta + \theta \\ &\leq (\Phi(c'_i)|\Phi(a))_{\Phi(b)} + 17\theta \\ &\leq d(\Phi(b), \Phi(p)) + 17\theta. \end{aligned}$$

By (2.7) we get

$$(\Psi(c_{i+1})|\Psi(a_{j+1}))_{\Psi(b_{j+1})} > (\Psi(c_i)|\Psi(a_{j+1}))_{\Psi(b_{j+1})}.$$

In the tree T' , consider the tripod with vertices $\Psi(c_{i-1})$, $\Psi(c_{i+1})$ and $\Psi(b_{j+1})$, and denote by $\Psi(q)$ its branch point, with $q \in [c_{i-1}, c_{i+1}]$. Similarly, denote by $\Psi(q')$ the branch point of the tripod with vertices $\Psi(c_i)$, $\Psi(c_{i+1})$ and $\Psi(b_{j+1})$, with $q' \in [c_i, c_{i+1}]$. Thus we obtain one of the three patterns depicted on Figure 5. Note that $[c_i, q'] \subset [c_i, c_{i+1}]$ is again a neutral segment.

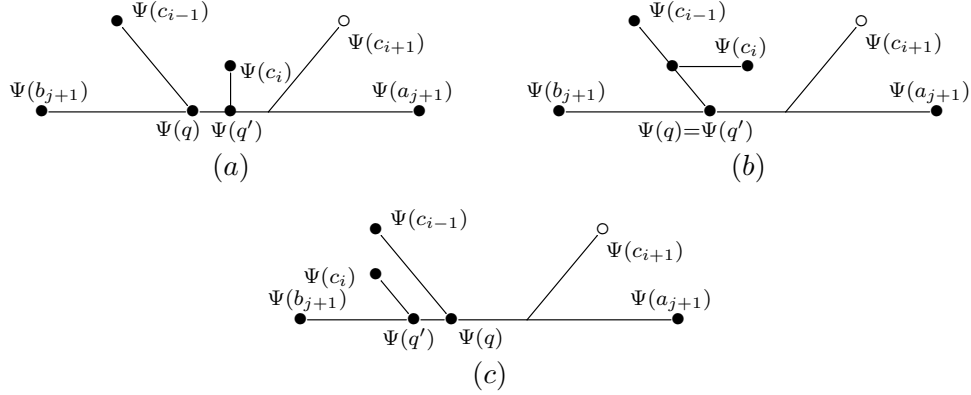


FIGURE 5. Three possible configurations

The distance between q and the segment $[a_{j+1}, b_{j+1}]$ is at most 2θ . To see it, note that $(a_{j+1}|b_{j+1})_q \leq \theta$ because $\Psi(a_{j+1})$, $\Psi(q)$ and $\Psi(b_{j+1})$ are aligned; then, consider the approximation tree τ for the triple (a_{j+1}, q, b_{j+1}) and denote by $\tau(m)$ the branch point of this tripod, with m on $[a_{j+1}, b_{j+1}]$. One gets $(\tau(a_{j+1})|\tau(b_{j+1}))_{\tau(q)} \leq \theta$ because a_{j+1} is the base point, and thus $d(\tau(q), \tau(m)) \leq \theta$. This implies that $d(m, q) \leq 2\theta$. The same proof shows that the distance from q' to $[a_{j+1}, b_{j+1}]$ is at most 2θ . Since the point q is 2θ -close to $\text{Ax}(h_{j+1})$, the segment $[q, b_{j+1}]$ is a piece with support h_{j+1} . We have

$$\begin{aligned} d(b_{j+1}, q) &\geq d(\Psi(b_{j+1}), \Psi(q)) \\ &\geq (c_{i-1}|a_{j+1})_{b_{j+1}} - \theta \\ &\geq (c'_{i-1}|a)_b - 15\theta - \theta \\ &\geq d(\Phi(b), \Phi(p)) - 17\theta. \end{aligned}$$

Thus by Fact 2.22 we see that $[q, b_{j+1}]$ is a piece of size $5/20$. A similar argument applies to the segment $[q', b_{j+1}]$.

In this first subcase, we define a new configuration (\hat{c}_l) by setting $\hat{c}_l = c_l$ for l between -1 and i , $\hat{c}_{i+2} = b_{j+1}$ and $\hat{c}_{i+3} = x_{j+1}$. For the point \hat{c}_{i+1} we choose

- $\hat{c}_{i+1} = q$ if $\Psi(q')$ is in between $\Psi(q)$ and $\Psi(a_{j+1})$ (Figure 5-(a));
- $\hat{c}_{i+1} = q'$ if $\Psi(q) = \Psi(q')$ (Figure 5-(b));

- $\hat{c}_{i+1} = q'$ if $\Psi(q')$ is in between $\Psi(b_{j+1})$ and $\Psi(q)$ (Figure 5-(c)).

We claim that, in all three cases, we obtain a configuration of order $i + 2$ for the segment $[x_0, x_{j+1}]$. First, we check conditions (ii) and (iii). The first modification occurs for index $l = i + 1$, hence we only need to verify them for indices $l \geq i - 1$. When the index is $l = i - 1$, the segment we consider is $[\hat{c}_{i-1}, \hat{c}_i] = [c_{i-1}, c_i]$; since it is a piece, it is not short and condition (ii) is satisfied for $l = i - 1$ because it was satisfied for the initial configuration (c_j) . Thus, we only need to verify (ii) and (iii) for indices $l \geq i$.

We now consider the index $l = i$, i.e. the segment $[\hat{c}_i, \hat{c}_{i+1}]$. Assume, first, that $\hat{c}_{i+1} = q$, so that $[\hat{c}_i, \hat{c}_{i+1}] = [c_i, q]$. This segment is short, as shown by the following computation (in which we use Lemma 2.6).

$$\begin{aligned}
 d(c_i, q) &\leq d(\Psi(c_i), \Psi(q)) + \theta \\
 &\leq (\Psi(c_{i-1})|\Psi(b_{j+1}))_{\Psi(c_i)} + \theta \\
 &\leq (c_{i-1}|b_{j+1})_{c_i} + \frac{1}{2}\theta + \theta \\
 &\leq (c'_{i-1}|b)_{c'_i} + 3\frac{9}{2}\theta + \frac{1}{2}\theta + \theta \\
 &\leq (\Phi(c'_{i-1})|\Phi(b))_{\Phi(c'_i)} + \theta + 3\frac{9}{2}\theta + \frac{1}{2}\theta + \theta \\
 &\leq 16\theta < 17\theta.
 \end{aligned}$$

Note, moreover, that the same computation holds for q' in place of q in the third case, i.e. when $\hat{c}_{i+1} = q'$ because $\Psi(q')$ is in between $\Psi(b_{j+1})$ and $\Psi(q)$. Since the segment $[c_i, q]$ is short, the condition to be verified is (iii). But $(\hat{c}_{i-1}, \hat{c}_{i+1}, \hat{c}_{i+1}) = (c_{i-1}, q, b_{j+1})$ are almost aligned because their images are aligned in the tree T' . Again, this argument applies to $(\hat{c}_{i-1}, \hat{c}_{i+1}, \hat{c}_{i+1}) = (c_{i-1}, q', b_{j+1})$ in the third situation.

Now, assume that we are in the second situation, with $\hat{c}_{i+1} = q'$. Then, c_{i-1}, c_i, q' are almost aligned because $q' \in [c_i, c_{i+1}]$ and c_{i-1}, c_i, c_{i+1} were almost aligned. Thus, the condition (ii) is satisfied for $l = i$ if $[c_i, q]$ is not short; if this segment is short, then $(\hat{c}_{i-1}, \hat{c}_{i+1}, \hat{c}_{i+2}) = (c_{i-1}, q, b_{j+1})$ is also a sequence of points which are almost aligned, because they are aligned in the tree. Thus, we have checked properties (ii) and (iii) in all three situations for the indices $l \leq i$.

Then, consider the index $l = i + 1$. The segment is $[\hat{c}_{i+1}, \hat{c}_{i+2}] = [q, b_{j+1}]$ (resp. $[q', b_{j+1}]$), and this is a piece; moreover, c_i, q (resp. q'), and b_{j+1} are almost aligned, because their images in T' are aligned. Thus, (ii) is satisfied for the index $l = i + 1$. The last thing to check is that q (resp. q'), b_{j+1} , and x_{j+1} are almost aligned. We only do it for q , because the proof is similar for q' . For this, consider the approximation tree η associated to the four points $(b_{j+1}, x_{j+1}, q, a_{j+1})$. The branch point of the tripod $(\eta(b_{j+1}), \eta(q), \eta(a_{j+1}))$ is a point $\eta(m)$ with

m in $[b_{j+1}, a_{j+1}]$, $d(q, m) \leq 2\theta$, and $d(\eta(b_{j+1}), \eta(m)) \geq 5L/20 - \theta$ (as shown above). Thus, $\eta(m)$ is in between $\eta(a_{j+1})$ and the branch point of the tripod $(\eta(b_{j+1}), \eta(x_{j+1}), \eta(a_{j+1}))$. On the other hand, we know that $(a_{j+1}|x_{j+1})_{b_{j+1}} \leq 2\theta$ by the second property of Lemma 2.12. Thus, $(\eta(a_{j+1})|\eta(x_{j+1}))_{\eta(b_{j+1})} = (\eta(q)|\eta(x_{j+1}))_{\eta(b_{j+1})} \leq 2\theta + \theta/2$ and then $(q|x_{j+1})_{b_{j+1}} \leq (2 + 1/2)\theta \leq 3\theta$ because b_{j+1} is the base point of the tree. This shows that properties (ii) and (iii) are satisfied in the case $\hat{c}_{i+1} = q$.

By constructions, properties (i) and (v) are satisfied. Thus, all what remains to be checked is property (iv). But the new configuration is obtained from the previous one by adding a neutral segment $[c_i, q]$ (resp. $[c_i, q']$) in place of the former neutral segment $[c_i, c_{i+1}]$ and then adding a piece $[q, b_{j+1}]$ (resp. $[q', b_{j+1}]$) of size at least $5/20$. Thus, (iv) is also satisfied.

Second case - second subcase. Assume $[c_i, c_{i+1}]$ is a piece. By Fact 2.18 the segment $[\Phi(p), \Phi(c_{i+1})]$ has length at most B , and $[c_{i+1}, c_{i+2}]$ must be neutral and long: otherwise $d(\Phi(p), \Phi(a)) \leq 2B$, in contradiction with the case assumption $d(\Phi(p), \Phi(a)) > \frac{1}{20}L - 12\theta$. Thus the piece $[c_i, c_{i+1}]$ has size $5/20$ (or $18/20$ if $i = 0$). We consider the approximation tree $\Psi: X \mapsto T$ of $(c_{i+1}, c_i, c_{i+2}, a_{j+1}, b_{j+1})$. We obtain one of the situations depicted on Fig. 6, where now $q \in [c_{i+1}, c_i]$ in cases (b) or (c), or $q \in [c_{i+1}, c_{i+2}]$ in case (a).

In case (a), $[c_{i+1}, q]$ is short, and therefore neutral:

$$\begin{aligned}
 d(c_{i+1}, q) &\leq d(\Psi(c_{i+1}), \Psi(q)) + \theta \\
 &\leq (\Psi(a_{j+1})|\Psi(b_{j+1}))_{\Psi(c_{i+1})} + \theta \\
 &\leq (a_{j+1}|b_{j+1})_{c_{i+1}} + \frac{1}{2}\theta + \theta \\
 &\leq (a|b)_{c'_{i+1}} + 3\frac{9}{2}\theta + \frac{1}{2}\theta + \theta \\
 &\leq (\Phi(a)|\Phi(b))_{\Phi(c'_{i+1})} + \theta + 3\frac{9}{2}\theta + \frac{1}{2}\theta + \theta \\
 &\leq 16\theta < 17\theta.
 \end{aligned}$$

We are in a case similar to the first subcase and to Figure 5. We still have

$$d(b_{j+1}, q) \geq d(\Phi(b), \Phi(p)) - 17\theta,$$

and one can define a new sequence (\hat{c}_l) by $\hat{c}_l = c_l$ for l between -1 and $i + 1$, and by $\hat{c}_{i+2} = q$, $\hat{c}_{i+3} = b_{j+1}$ and $\hat{c}_{i+4} = x_{j+1}$. This new sequence cuts (c_l) after $l = i + 1$, adds a short neutral segment after the last piece $[c_i, c_{i+1}]$, and then a piece $[q, b_{j+1}]$ and a final neutral segment $[b_{j+1}, x_{j+1}]$. Hence, as in the first subcase, (\hat{c}_l) is a configuration of order $i + 3$ for the segment $[x_0, x_{j+1}]$.

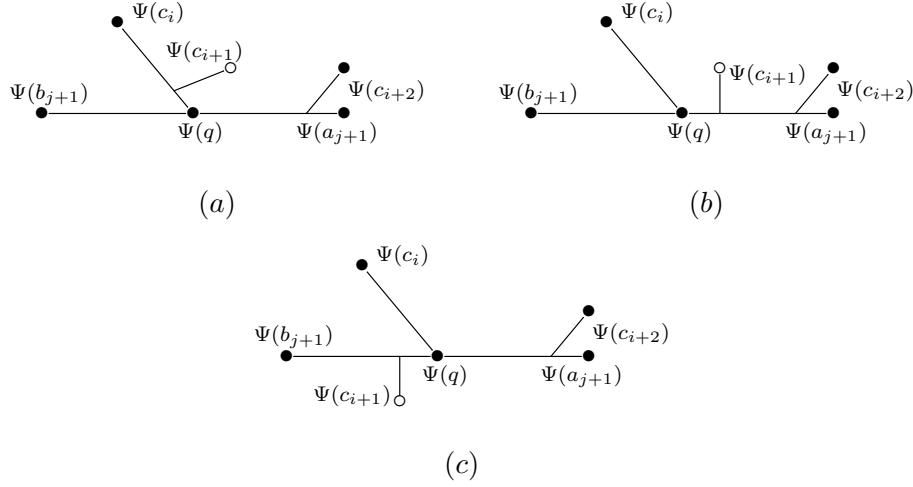


FIGURE 6.

In case (b) or (c), let us check that $d(c_{i+1}, q) \leq B + 15\theta$, so that $[c_i, q]$ is a piece of size $4/20$ (or $17/20$ if $i = 0$). We have

$$\begin{aligned} d(c_{i+1}, q) &\leq (c_i | b_{j+1})_{c_{i+1}} + (3/2)\theta \\ &\leq (\Phi(c'_i) | \Phi(b))_{\Phi(c'_{i+1})} + 3(9/2)\theta + (3/2)\theta \\ &\leq B + 15\theta. \end{aligned}$$

As in the first subcase, the estimate for $d(b_{j+1}, q)$ gives

$$d(b_{j+1}, q) \geq d(\Phi(b), \Phi(p)) - 17\theta,$$

and Fact 2.22 implies that $[q, b_{j+1}]$ is a piece of size $5/20$; moreover $(x_{j+1} | q)_{b_{j+1}} \leq 3\theta$.

We define the new configuration (\hat{c}_l) by taking $\hat{c}_l = c_l$ for l between -1 and i , and $\hat{c}_{i+1} = q$, $\hat{c}_{i+2} = b_{j+1}$ and $\hat{c}_{i+3} = x_{j+1}$; this defines a configuration of order $i + 2$ for the segment $[x_0, x_{j+1}]$.

As in the first subcase, properties (i), (ii), (iii), (iv) and (v) are satisfied. \square

Proof of Theorem 2.10. By Lemma 2.16 there exists (c_i) , a configuration of order k for $[x_0, x_m]$, where $x_m = h(x_0)$. Recall that by our choice of x_0 we have $L(h) \geq d(x_0, x_m) - \theta$.

If $k \geq 2$, then we have at least two distinct pieces: The first one, $[c_0, c_1]$, has size at least $17/20$, and the last one, $[c_{k-1}, c_k]$, has size $5/20$. We apply Lemma 2.6 to the sequence of good points and obtain $L(h) \geq \frac{22}{20}L - 16\theta > L$.

If $k = 1$, either $m = 1$ and h is conjugate to g , or we have $d(x_0, c_0) \geq \frac{3}{20}L$. On the other hand $d(c_0, c_1) \geq \frac{18}{20}L$, so we obtain $L(h) \geq \frac{21}{20}L - 16\theta > L$. \square

3. HYPERBOLIC SPACES WITH CONSTANT NEGATIVE CURVATURE

This section is devoted to the classical hyperbolic space \mathbb{H}^n , where the dimension n is allowed to be infinite. As we shall see, constant negative curvature, which is stronger than δ -hyperbolicity, is a useful property to decide whether the axis $\text{Ax}(g)$ of a hyperbolic isometry is rigid.

3.1. Hyperbolic spaces.

3.1.1. *Definition.* Let H be a real Hilbert space, with scalar product $(x \cdot y)_H$, and let $\|x\|_H$ denotes the norm of any element $x \in H$. Let u be a unit vector in H , and u^\perp be its orthogonal complement; each element $x \in H$ decomposes uniquely into $x = \alpha(x)u + v_x$ with $\alpha(x)$ in \mathbf{R} and v_x in u^\perp . Let $\langle \cdot | \cdot \rangle: H \times H \mapsto \mathbf{R}$ be the symmetric bilinear mapping defined by

$$\langle x|y \rangle = \alpha(x)\alpha(y) - (v_x \cdot v_y)_H.$$

This bilinear mapping is continuous and has signature equal to $(1, \dim(H) - 1)$. The set of points x with $\langle x|x \rangle = 0$ is the light cone of $\langle \cdot | \cdot \rangle$. Let \mathbb{H} be the subset of H defined by

$$\mathbb{H} = \{x \in H; \langle x|x \rangle = 1 \text{ and } \langle u|x \rangle > 0\}.$$

The space \mathbb{H} is the sheet of the hyperboloid $\langle x|x \rangle = 1$ which contains u .

The function $\text{dist}: \mathbb{H} \times \mathbb{H} \mapsto \mathbf{R}_+$ defined by

$$\cosh(\text{dist}(x, y)) = \langle x|y \rangle$$

gives a distance on \mathbb{H} , and $(\mathbb{H}, \text{dist})$ is a complete and simply connected riemannian manifold of dimension $\dim(H) - 1$ with constant scalar curvature -1 (this characterizes \mathbb{H} if the dimension is finite). As such, \mathbb{H} is a CAT(-1) space, and therefore a δ -hyperbolic space. More precisely, \mathbb{H} is δ -hyperbolic, in any dimension, even infinite, with $\delta = \log(3)$ (see [13], § I.4 page 11). In particular, all properties listed in §2.1 are satisfied in \mathbb{H} .

3.1.2. *Geodesics and boundary.* The hyperbolic space \mathbb{H} is in one to one correspondence with its projection into the projective space $\mathbb{P}(H)$. The boundary of this subset of $\mathbb{P}(H)$ is the projection of the light cone of $\langle \cdot | \cdot \rangle$; we shall denote it by $\partial\mathbb{H}$ and call it the **boundary** of \mathbb{H} (or boundary at infinity).

Let Γ be a geodesic line in \mathbb{H} . Then there is a unique plane $V_\Gamma \subset H$ such that $\Gamma = V_\Gamma \cap \mathbb{H}$. The plane V_Γ intersects the light cone on two lines, and these lines determine two points of $\partial\mathbb{H}$, called the endpoints of Γ . If x and y are two distinct points of \mathbb{H} , there is a unique geodesic segment $[x, y]$ from x to y ; this segment is contained in a unique geodesic line, namely $\text{Vect}(x, y) \cap \mathbb{H}$.

Let x be a point of \mathbb{H} and Γ be a geodesic. The projection $\pi_\Gamma(x) \in \Gamma$, i.e. the point $y \in \Gamma$ which minimizes $\text{dist}(x, y)$, is unique.

3.1.3. *Distances between geodesics.* The following lemma shows that close geodesic segments are indeed exponentially close in a neighborhood of their middle points; this property is not satisfied in general δ -hyperbolic spaces because δ -hyperbolicity does not tell anything at scale $\leq \delta$.

Lemma 3.1. *Let x, x', y , and y' be four points of the hyperbolic space \mathbb{H} . Assume that*

- (i) $\text{dist}(x, x') \leq \varepsilon$, and $\text{dist}(y, y') \leq \varepsilon$,
- (ii) $\text{dist}(x, y) \geq B$,
- (iii) $B \geq 10\varepsilon$,

where ε and B are positive real numbers. Let $[u, v] \subset [x, y]$ be the geodesic segment of length $\frac{3}{4}\text{dist}(x, y)$ centered at the middle of $[x, y]$. Then $[u, v]$ is contained in the tubular neighborhood $\text{Tub}_\nu([x', y'])$ with

$$\cosh(\nu) - 1 \leq 5 \frac{\cosh(2\varepsilon) - 1}{\exp(B/2 - 4\varepsilon)}.$$

Thus, when B is large, ν becomes much smaller than ε . The constants in this inequality are not optimal and depend on the choice of the ratio

$$\text{dist}(u, v)/\text{dist}(x, y) = 3/4.$$

A proof of this lemma can be found in [8].

3.1.4. *Isometries.* Let f be an isometry of \mathbb{H} ; then f is the restriction of a unique continuous linear transformation of the Hilbert space H . In particular, f extends to a homeomorphism of the boundary $\partial\mathbb{H}$. The three types of isometries (see § 2.3.1) have the following properties.

- (1) If f is elliptic there is a point x in \mathbb{H} with $f(x) = x$, and f acts as a rotation centered at x . Fixed points of f are eigenvectors of the linear extension $f: H \rightarrow H$ corresponding to the eigenvalue 1.
- (2) If f is parabolic there is a unique fixed point of f on the boundary $\partial\mathbb{H}$; this point corresponds to a line of eigenvectors with eigenvalue 1 for the linear extension $f: H \rightarrow H$.
- (3) If f is hyperbolic, then f has exactly two fixed points $\alpha(f)$ and $\omega(f)$ on the boundary $\partial\mathbb{H}$ and the orbit $f^k(x)$ of every point $x \in \mathbb{H}$ goes to $\alpha(f)$ as k goes to $-\infty$ and $\omega(f)$ as k goes to $+\infty$. The set $\text{Min}(f)$ coincides with the geodesic line from $\alpha(f)$ to $\omega(f)$. In particular, $\text{Min}(f)$ coincides with the unique f -invariant axis $\text{Ax}(f) = \text{Vect}(\alpha(f), \omega(f)) \cap \mathbb{H}$. The points $\alpha(f)$ and $\omega(f)$ correspond to eigenlines of the linear extension $f: H \rightarrow H$ with eigenvalues λ^{-1} and λ , where $\lambda > 1$; the translation length $L(f)$ is equal to the logarithm of λ (see Remark 4.5 below).

3.2. Rigidity of axis for hyperbolic spaces. Let G be a group of isometries of the hyperbolic space \mathbb{H} , and g be a hyperbolic element of G . The following strong version of Lemma 2.8 is a direct consequence of Lemma 3.1.

Lemma 3.2. *Let $\varepsilon' < \varepsilon$ be positive real numbers. If the segment $A \subset \mathbb{H}$ is (ε', B') -rigid, then A is also (ε, B) -rigid with*

$$B = \max \left\{ 22\varepsilon, 18\varepsilon + 2 \log \left(5 \frac{\cosh(4\varepsilon) - 1}{\cosh(\varepsilon') - 1} \right), \frac{4}{3}B' + 2\varepsilon \right\}.$$

In the context of hyperbolic spaces \mathbb{H} , Lemma 3.2 enables us to drop the ε in the notation for ε -rigidity; we simply say that $A \subset \mathbb{H}$ is rigid.

Proof. By assumption, B satisfies the following three properties

- $B - 2\varepsilon \geq 10(2\varepsilon) = 20\varepsilon$;
- $\cosh(\varepsilon') - 1 \geq (\cosh(4\varepsilon) - 1)/\exp(B/2 - 9\varepsilon)$;
- $(3/4)(B - 2\varepsilon) \geq B'$.

Let f be an element of the group G such that $A \cap_\varepsilon f(A)$ contains two points at distance B . Then A and $f(A)$ contain two segments I and J of length $B - 2\varepsilon$ which are 2ε -close. Lemma 3.1 and the inequalities satisfied by $(B - 2\varepsilon)$ show that I and J contain subsegments of length $3(B - 2\varepsilon)/4$ which are ε' -close. Since A is (ε', B') -rigid, $f(A)$ coincides with A , and therefore A is (ε, B) -rigid. \square

Proposition 3.3. *Let G be a group of isometries of \mathbb{H} , and $g \in G$ be a hyperbolic isometry. Let n be a positive integer, $p \in \text{Ax}(g)$, and $\eta > 0$. If $\text{Ax}(g)$ is not rigid, there exists an element f of G such that $f(\text{Ax}(g)) \neq \text{Ax}(g)$ and $\text{dist}(f(x), x) \leq \eta$ for all $x \in [g^{-n}(p), g^n(p)]$.*

Proof. Since $\text{Ax}(g)$ is not rigid, in particular $\text{Ax}(g)$ is not (ε, B) -rigid for $B = (3n + 4)L(g)$ and $\varepsilon = \eta/2$. Then there exists an isometry $h \in G$ such that $h(\text{Ax}(g))$ is different from $\text{Ax}(g)$, but $\text{Ax}(g)$ contains a segment J of length B which is mapped by h into the tubular neighborhood $\text{Tub}_\varepsilon(\text{Ax}(g))$.

Changing h into $g^j \circ h$, we can assume that the point p is near the middle of the segment $h(J)$; and changing h into $h \circ g^k$ moves J to $g^{-k}(J)$. We can thus change h into $h_1 = h^j \circ h \circ g^k$ for some $j, k \in \mathbf{Z}$, B into $B_1 \geq B - 4L(g) \geq 3nL(g)$, and find two points x and y on $\text{Ax}(g)$ that satisfy

- (1) $\text{dist}(x, y) \geq B_1$, $p \in [x, y]$, and $\text{dist}(p, x) \geq B_1/3$, $\text{dist}(p, y) \geq B_1/3$;
- (2) either (a) $h_1(x) \in \text{Tub}_\varepsilon([g^{-1}(x), x])$ and $h_1(y) \in \text{Tub}_\varepsilon([g^{-1}(y), y])$,
or (b) $h_1(y) \in \text{Tub}_\varepsilon([g^{-1}(x), x])$ and $h_1(x) \in \text{Tub}_\varepsilon([g^{-1}(y), y])$;
- (3) $g^i(x)$ and $g^i(y)$, with $-2 \leq i \leq 2$, are at distance at most ε from $h(\text{Ax}(g))$.

This does not change the axis $h(\text{Ax}(g))$ and the value of ε .

We now change h_1 into the commutator $h_2 = h_1^{-1}g^{-1}h_1g$. We still have $h_2(\text{Ax}(g)) \neq \text{Ax}(g)$, because otherwise $h_1^{-1}g^{-1}h_1$ fixes $\text{Ax}(g)$ and by uniqueness of the axis of a hyperbolic isometry of \mathbb{H} we would have $h_1^{-1}(\text{Ax}(g)) =$

$Ax(g)$. Moreover, property (2) above is replaced by $\text{dist}(x, h_2(x)) \leq 2\varepsilon < \eta$ and $\text{dist}(y, h_2(y)) \leq \eta$ in case (a), and by $\text{dist}(g^2(x), h_2(x)) \leq \eta$ and $\text{dist}(g^2(y), h_2(y)) \leq \eta$ in case (b); similar properties are then satisfied by the points $g^i(x)$ and $g^i(y)$, $-2 \leq i \leq 2$, in place of x and y .

Changing, once again, h_2 into $h_3 = h_2 \circ g^{-2}$ if necessary, we can assume that $\text{dist}(x, h_3(x)) \leq \eta$ and $\text{dist}(y, h_3(y)) \leq \eta$.

Consider the arc length parametrization

$$m: t \in [-\infty, +\infty] \mapsto Ax(g)$$

such that $m(0) = p$ and $g(m(t)) = m(t + L(g))$. Since p is in the interval $[x + B_1/3, y - B_1/3]$, we obtain $\text{dist}(m(t), h_3(m(t))) \leq \eta$ for all t in $[-B_1/3, B_1/3]$. Defining $f = h_3$ we get

$$\text{dist}(z, f(z)) \leq \eta, \quad \forall z \in [g^{-n}(p), g^n(p)]$$

because $nL(g) \leq B_1/3$. □

In particular, the proof for $n = 1$ gives the following corollary.

Corollary 3.4. *Let G be a group of isometries of \mathbb{H} . Let g be a hyperbolic element of G and p be a point of $Ax(g)$. Let η be a positive real number. If there is no f in $G \setminus \{\text{Id}\}$ such that $d(f(x), x) \leq \eta$ for all $x \in [g^{-1}(p), g(p)]$, then $Ax(g)$ is $(\eta/2, 7L(g))$ -rigid.*

Part B. Algebraic Geometry and the Cremona Group

4. THE PICARD-MANIN SPACE

4.1. Néron-Severi groups and rational morphisms. Let X be a smooth projective surface defined over an algebraically closed field \mathbf{k} . The Néron-Severi group $\mathbf{N}^1(X)$ is the group of Cartier divisors modulo numerical equivalence. When the field of definition is the field of complex numbers, $\mathbf{N}^1(X)$ coincides with the space of Chern classes of holomorphic line bundles of X (see [45]), and thus

$$\mathbf{N}^1(X) = H^2(X(\mathbf{C}), \mathbf{Z})_{t.f.} \cap H^{1,1}(X, \mathbf{R})$$

where $H^2(X(\mathbf{C}), \mathbf{Z})_{t.f.}$ is the torsion free part of $H^2(X(\mathbf{C}), \mathbf{Z})$ (the torsion part being killed when one takes the image of $H^2(X(\mathbf{C}), \mathbf{Z})$ into $H^2(X(\mathbf{C}), \mathbf{R})$). The rank $\rho(X)$ of this abelian group is called the Picard number of X . If D is a divisor, we denote by $[D]$ its class in $\mathbf{N}^1(X)$. The intersection form defines an integral quadratic form

$$([D_1], [D_2]) \mapsto [D_1] \cdot [D_2]$$

on $\mathbf{N}^1(X)$, the signature of which is equal to $(1, \rho(X) - 1)$ by Hodge index theorem (see [38], §V.1). We also denote $\mathbf{N}^1(X) \otimes \mathbf{R}$ by $\mathbf{N}^1(X)_{\mathbf{R}}$.

If $\pi: X \rightarrow Y$ is a birational morphism, then the pullback morphism

$$\pi^*: \mathbf{N}^1(Y) \rightarrow \mathbf{N}^1(X)$$

is injective and preserves the intersection form. For example, if π is just the blow-up of a point with exceptional divisor $E \subset X$, then $\mathbf{N}^1(X)$ is isomorphic to $\pi^*(\mathbf{N}^1(Y)) \oplus \mathbf{Z}[E]$, this sum is orthogonal with respect to the intersection form, and $[E] \cdot [E] = -1$.

Example 4.1. The Néron-Severi group of the plane is isomorphic to $\mathbf{Z}[H]$ where $[H]$ is the class of a line and $[H] \cdot [H] = 1$. After n blow-ups of points, the Néron-Severi group is isomorphic to \mathbf{Z}^{n+1} with a basis of orthogonal vectors $[H], [E_1], \dots, [E_n]$ such that $[H]^2 = 1$ and $[E_i]^2 = -1$ for all $1 \leq i \leq n$.

4.2. Indeterminacies. Let $f: X \dashrightarrow Y$ be a rational map between smooth projective surfaces. The indeterminacy set $\text{Ind}(f)$ is finite, and the curves which are blown down by f form a codimension 1, analytic subset of X , called the exceptional set $\text{Exc}(f)$.

Let H be an ample line bundle on Y . Consider the pullback by f of the linear system of divisors which are linearly equivalent to H ; when $X = Y = \mathbb{P}^2$ and H is a line, this linear system is called the homaloidal net of f . The base locus of this linear system is supported on $\text{Ind}(f)$, but it can of course include infinitely near points. We shall call it the **base locus** of f . To resolve the indeterminacies of f , one blows up the base locus (see [45] for base loci, base ideal, and their blow ups); in other words, one blows up $\text{Ind}(f)$, obtaining $\pi: X' \rightarrow X$, then one blows up $\text{Ind}(f \circ \pi)$, and so on; the process stops in a finite number of steps (see [38], §V.5).

Remark 4.2. If f is a birational transformation of a projective surface with Picard number one, then $\text{Ind}(f)$ is contained in $\text{Exc}(f)$. One can prove this by considering the factorization of f as a sequence of blow-ups followed by a sequence of blow-downs. Any curve in $\text{Exc}(f)$ corresponds to a (-1) -curve at some point in the sequence of blow-downs, but is also the strict transform of a curve of positive self-intersection from the source (this is where we use $\rho(X) = 1$).

4.3. Dynamical degrees. The rational map $f: X \dashrightarrow Y$ determines a linear map $f^*: \mathbf{N}^1(Y) \rightarrow \mathbf{N}^1(X)$. For complex surfaces, f determines a linear map $f^*: H^2(Y, \mathbf{Z}) \rightarrow H^2(X, \mathbf{Z})$ which preserves the Hodge decomposition: The action of f^* on $\mathbf{N}^1(X)$ coincides with the action by pull-back on $H^2(X(\mathbf{C}), \mathbf{Z})_{t.f.} \cap H^{1,1}(X, \mathbf{R})$ (see [22] for example).

Assume now that f is a birational selfmap of X . The **dynamical degree** $\lambda(f)$ of f is the spectral radius of the sequence of linear maps $((f^n)^*)_{n \geq 0}$:

$$\lambda(f) = \lim_{n \rightarrow +\infty} \left(\|(f^n)^*\|^{1/n} \right)$$

where $\|\cdot\|$ is an operator norm on $\text{End}(\mathbf{N}^1(X)_{\mathbf{R}})$; the limit exists because the sequence $\|(f^n)^*\|$ is submultiplicative (see [22]). The number $\lambda(f)$ is invariant under conjugacy: $\lambda(f) = \lambda(gfg^{-1})$ if $g: X \dashrightarrow Y$ is a birational map.

Example 4.3. Let $[x : y : z]$ be homogeneous coordinates for the projective plane $\mathbb{P}_{\mathbf{k}}^2$. Let f be an element of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$; there are three homogeneous polynomials P, Q , and $R \in \mathbf{k}[x, y, z]$ of the same degree d , and without common factor of degree ≥ 1 , such that

$$f[x : y : z] = [P : Q : R].$$

The degree d is called the degree of f , and is denoted by $\deg(f)$. The action f^* of f on $\mathbf{N}^1(\mathbb{P}_{\mathbf{k}}^2)$ is the multiplication by $\deg(f)$. The dynamical degree of f is thus equal to the limit of $\deg(f^n)^{1/n}$.

4.4. Picard-Manin classes. We follow the presentation given in [4, 6, 30] which, in turn, is inspired by the fifth chapter of Manin's book [47].

4.4.1. Models and Picard-Manin space. A model of X is a smooth projective surface X' with a birational morphism $X' \rightarrow X$. If $\pi_1: X_1 \rightarrow X$, and $\pi_2: X_2 \rightarrow X$ are two models, we say that X_2 dominates X_1 if the induced birational map $\pi_1^{-1} \circ \pi_2: X_2 \dashrightarrow X_1$ is a morphism. In this case, $\pi_1^{-1} \circ \pi_2$ contracts a finite number of exceptional divisors and induces an injective map $(\pi_1^{-1} \circ \pi_2)^*: \mathbf{N}^1(X_1)_{\mathbf{R}} \hookrightarrow \mathbf{N}^1(X_2)_{\mathbf{R}}$.

Let \mathcal{B}_X be the set of models that dominate X . If $X_1, X_2 \in \mathcal{B}_X$ then, by resolving the indeterminacies of the induced birational map $X_1 \dashrightarrow X_2$ we obtain $X_3 \in \mathcal{B}_X$ which dominates both X_1 and X_2 . The space $\mathcal{Z}(X)$ of **(finite) Picard-Manin classes** is the direct limit

$$\mathcal{Z}(X) = \lim_{\rightarrow \mathcal{B}_X} \mathbf{N}^1(X')_{\mathbf{R}}.$$

The Néron-Severi group $\mathbf{N}^1(X')_{\mathbf{R}}$ of any model $X' \rightarrow X$ embeds in $\mathcal{Z}(X)$ and can be identified to its image into $\mathcal{Z}(X)$. Thus, a Picard-Manin class is just a (real) Néron-Severi class of some model dominating X . The Picard-Manin class of a divisor D is still denoted by $[D]$, as for Néron-Severi classes. Note that $\mathcal{Z}(X)$ contains the direct limit of the lattices $\mathbf{N}^1(X')$ (with integer coefficients). This provides an integral structure for $\mathcal{Z}(X)$. In the following paragraph we construct a basis of $\mathcal{Z}(X)$ made of integral points.

For all birational morphisms π , the pull-back operator π^* preserves the intersection form and maps nef classes to nef classes; as a consequence, the limit space $\mathcal{Z}(X)$ is endowed with an intersection form (of signature $(1, \infty)$) and a nef cone.

4.4.2. *Basis of $\mathcal{Z}(X)$.* A basis of the real vector space $\mathcal{Z}(X)$ is constructed as follows. On the set of models $\pi: Y \rightarrow X$ together with marked points $p \in Y$, we introduce the equivalence relation: $(p, Y) \sim (p', Y')$ if the induced birational map $\pi'^{-1} \circ \pi: Y \dashrightarrow Y'$ is an isomorphism in a neighborhood of p that maps p onto p' . Let \mathcal{V}_X be the quotient space; to denote points of \mathcal{V}_X we just write $p \in \mathcal{V}_X$, without any further reference to a model $\pi: Y \rightarrow X$ with $p \in Y$.

Let (p, Y) be an element of \mathcal{V}_X . Consider $\bar{Y} \rightarrow Y$ the blow-up of p and $E_p \subset \bar{Y}$ the exceptional divisor; the Néron-Severi class $[E_p]$ determines a Picard-Manin class and one easily verifies that this class depends only on the class $p \in \mathcal{V}_X$ (not on the model (Y, π) , see [47]). The classes $[E_p]$, $p \in \mathcal{V}_X$, have self-intersection -1 , are mutually orthogonal, and are orthogonal to $\mathbf{N}^1(X)_{\mathbf{R}}$. Moreover,

$$\mathcal{Z}(X) = \mathbf{N}^1(X)_{\mathbf{R}} \oplus \text{Vect}([E_p]; p \in \mathcal{V}_X)$$

and this sum is orthogonal with respect to the intersection form on $\mathcal{Z}(X)$. To get a basis of $\mathcal{Z}(X)$, we then fix a basis $([H_i])_{1 \leq i \leq \rho(X)}$ of $\mathbf{N}^1(X)_{\mathbf{R}}$, where the H_i are Cartier divisors, and complete it with the family $([E_p])_{p \in \mathcal{V}_X}$.

4.4.3. *Completion.* The **(completed) Picard-Manin space** $\bar{\mathcal{Z}}(X)$ of X is the L^2 -completion of $\mathcal{Z}(X)$ (see [4, 6] for details); in other words

$$\bar{\mathcal{Z}}(X) = \left\{ [D] + \sum_{p \in \mathcal{V}_X} a_p [E_p]; [D] \in \mathbf{N}^1(X)_{\mathbf{R}}, a_p \in \mathbf{R} \text{ and } \sum a_p^2 < +\infty \right\}$$

whereas $\mathcal{Z}(X)$ corresponds to the case where the a_p vanish for all but a finite number of $p \in \mathcal{V}_X$. For the projective plane $\mathbb{P}_{\mathbf{k}}^2$, the Néron-Severi group $\mathbf{N}^1(\mathbb{P}_{\mathbf{k}}^2)$ is isomorphic to $\mathbf{Z}[H]$, where H is a line; elements of $\bar{\mathcal{Z}}(X)$ are then given by sums

$$a_0[H] + \sum_{p \in \mathcal{V}_{\mathbb{P}_{\mathbf{k}}^2}} a_p [E_p]$$

with $\sum a_p^2 < +\infty$. We shall call this space the Picard-Manin space without further reference to $\mathbb{P}_{\mathbf{k}}^2$ or to the completion.

4.5. **Action of $\text{Bir}(X)$ on $\bar{\mathcal{Z}}(X)$.** If $\pi: X' \rightarrow X$ is a morphism, then π induces an isomorphism $\pi^*: \mathcal{Z}(X) \rightarrow \mathcal{Z}(X')$. Let us describe this fact when π is the (inverse of the) blow-up of a point $q \in X$. In this case we have

$$\mathbf{N}^1(X') = \pi^*(\mathbf{N}^1(X)) \oplus \mathbf{Z}[E_q] \quad \text{and} \quad \mathcal{V}_{X'} = \mathcal{V}_X \cup \{(q, X)\}$$

where $(q, X) \in \mathcal{V}_X$ denotes the point of \mathcal{V}_X given by $q \in X$. Thus the bases of $\mathcal{Z}(X)$ and $\mathcal{Z}(X')$ are in bijection, the only difference being that $[E_q]$ is first viewed as the class of an exceptional divisor in $\mathcal{Z}(X)$, and then as an element of $\mathbf{N}^1(X') \subset \mathcal{Z}(X')$; the isomorphism π^* corresponds to this bijection of basis. Note that π^* extends uniquely as a continuous isomorphism $\pi^*: \bar{\mathcal{Z}}(X') \rightarrow \bar{\mathcal{Z}}(X)$ that

preserves the intersection form. Since any birational morphism π is a composition of blow-downs of exceptional curves of the first kind, this proves that π^* is an isometry from $\mathcal{Z}(X)$ (resp. $\bar{\mathcal{Z}}(X)$) to $\mathcal{Z}(X')$ (resp. $\bar{\mathcal{Z}}(X')$).

Now consider $f: X \dashrightarrow X$ a birational map. There exist a surface Y and two morphisms $\pi: Y \rightarrow X$, $\sigma: Y \rightarrow X$, such that $f = \sigma \circ \pi^{-1}$. Defining f^* by $f^* = (\pi^*)^{-1} \circ \sigma^*$, and f_* by $f_* = (f^{-1})^*$, we get a representation

$$f \mapsto f_*$$

of $\text{Bir}(X)$ into the orthogonal group of $\mathcal{Z}(X)$ (resp. $\bar{\mathcal{Z}}(X)$) with respect to the intersection form. This representation is faithful, because $f_*[E_p] = [E_{f(p)}]$ for all points p in the domain of definition of f ; it preserves the integral structure of $\mathcal{Z}(X)$ and the nef cone.

In what follows, we restrict the study to the projective plane $\mathbb{P}_{\mathbf{k}}^2$ and the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$.

4.6. Action on an infinite dimensional hyperbolic space.

4.6.1. *The hyperbolic space $\mathbb{H}_{\bar{\mathcal{Z}}}$.* We define

$$\mathbb{H}_{\bar{\mathcal{Z}}} = \{[D] \in \bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2); [D]^2 = 1, [H] \cdot [D] > 0\}$$

and a distance dist on $\mathbb{H}_{\bar{\mathcal{Z}}}$ by the following formula

$$\cosh(\text{dist}([D_1], [D_2])) = [D_1] \cdot [D_2].$$

Since the intersection form is of Minkowski type, this endows $\mathbb{H}_{\bar{\mathcal{Z}}}$ with the structure of an infinite dimensional hyperbolic space, as in §3.1.

4.6.2. *Cremona isometries.* By paragraph 4.5 the action of the Cremona group on $\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ preserves the two-sheeted hyperboloid $\{[D] \in \bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2); [D]^2 = 1\}$ and since the action also preserves the nef cone, we obtain a faithful representation of the Cremona group into the group of isometries of $\mathbb{H}_{\bar{\mathcal{Z}}}$:

$$\text{Bir}(\mathbb{P}_{\mathbf{k}}^2) \hookrightarrow \text{Isom}(\mathbb{H}_{\bar{\mathcal{Z}}}).$$

In the context of the Cremona group, the classification of isometries into three types (see § 3.1.4) has an algebraic-geometric meaning.

Theorem 4.4 ([6]). *Let f be an element of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$. The isometry f_* of $\mathbb{H}_{\bar{\mathcal{Z}}}$ is hyperbolic if and only if the dynamical degree $\lambda(f)$ is strictly larger than 1.*

As a consequence, when $\lambda(f) > 1$ then f_* preserves a unique geodesic line $\text{Ax}(f) \subset \mathbb{H}_{\bar{\mathcal{Z}}}$; this line is the intersection of $\mathbb{H}_{\bar{\mathcal{Z}}}$ with a plane $V_f \subset \bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ which intersects the isotropic cone of $\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ on two lines R_f^+ and R_f^- such that

$$f_*(a) = \lambda(f)^{\pm 1} a$$

for all $a \in R_f^\pm$ (the lines R_f^+ and R_f^- correspond to $\omega(f)$ and $\alpha(f)$ in the notation of § 3.1.4).

Remark 4.5. The translation length $L(f_*)$ is therefore equal to $\log(\lambda(f))$. Indeed, take $[\alpha] \in R_f^-$, $[\omega] \in R_f^+$ normalized such that $[\alpha] \cdot [\omega] = 1$. The point $[P] = \frac{1}{\sqrt{2}}([\alpha] + [\omega])$ is on the axis $\text{Ax}(f_*)$. Since $f_*[P] = \frac{1}{\sqrt{2}}(\lambda(f)^{-1}[\alpha] + \lambda(f)[\omega])$, we get

$$e^{L(f_*)} + \frac{1}{e^{L(f_*)}} = 2 \cosh(\text{dist}([P], f_*[P])) = 2([P] \cdot f_*[P]) = \lambda(f) + \frac{1}{\lambda(f)}.$$

Remark 4.6. Over the field of complex numbers \mathbf{C} , [6] proves that: f_* is elliptic if, and only if, there exists a positive iterate f^k of f and a birational map $\varepsilon: \mathbb{P}_{\mathbf{C}}^2 \dashrightarrow X$ such that $\varepsilon \circ f^k \circ \varepsilon^{-1}$ is an element of $\text{Aut}(X)^0$ (the connected component of the identity in $\text{Aut}(X)$); f_* is parabolic if, and only if, f preserves a pencil of elliptic curves and $\deg(f^n)$ grows quadratically with n , or f preserves a pencil of rational curves and $\deg(f^n)$ grows linearly with n .

4.6.3. *Automorphisms.* Assume that $f \in \text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is conjugate, via a birational transformation φ , to an automorphism g of a smooth rational surface X :

$$\begin{array}{ccc} X & \xrightarrow{g} & X \\ | & & | \\ \varphi \downarrow & & \downarrow \varphi \\ \mathbb{P}_{\mathbf{k}}^2 & \xrightarrow{f} & \mathbb{P}_{\mathbf{k}}^2 \end{array}$$

Then we have an isomorphism $\varphi_*: \bar{\mathcal{Z}}(X) \rightarrow \bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ and an orthogonal decomposition

$$\bar{\mathcal{Z}}(X) = \mathbf{N}^1(X)_{\mathbf{R}} \oplus \mathbf{N}^1(X)_{\mathbf{R}}^\perp$$

where $\mathbf{N}^1(X)_{\mathbf{R}}^\perp$ is spanned by the classes $[E_p]$, $p \in \mathcal{V}_X$. This orthogonal decomposition is g_* -invariant. In particular, f_* preserves the finite dimensional subspace $\varphi_*\mathbf{N}^1(X)_{\mathbf{R}} \subset \bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$.

By Hodge index theorem, the intersection form has signature $(1, \rho(X) - 1)$ on $\mathbf{N}^1(X)$, so that $\varphi_*\mathbf{N}^1(X)_{\mathbf{R}}$ intersects $\mathbb{H}_{\bar{\mathcal{Z}}}$ on an f_* -invariant hyperbolic subspace of dimension $\rho(X) - 1$. This proves the following lemma.

Lemma 4.7. *If f is conjugate to an automorphism $g \in \text{Aut}(X)$ by a birational map $\varphi: X \dashrightarrow \mathbb{P}_{\mathbf{k}}^2$, then:*

- (1) *The isometry $f_*: \mathbb{H}_{\bar{\mathcal{Z}}} \rightarrow \mathbb{H}_{\bar{\mathcal{Z}}}$ is hyperbolic (resp. parabolic, resp. elliptic) if and only if the isometry $g_*: \mathbf{N}^1(X)_{\mathbf{R}} \rightarrow \mathbf{N}^1(X)_{\mathbf{R}}$ is hyperbolic (resp. parabolic, resp. elliptic) for the intersection form on $\mathbf{N}^1(X)_{\mathbf{R}}$;*
- (2) *the translation length of f_* is equal to the translation length of g_* ;*
- (3) *if f_* is hyperbolic then, modulo φ_* -conjugacy, the plane V_f corresponds to V_g , which is contained in $\mathbf{N}^1(X)_{\mathbf{R}}$, and $\text{Ax}(f_*)$ corresponds to $\text{Ax}(g_*)$.*

4.6.4. *Example: quadratic mappings (see [9]).* The set of birational quadratic maps $\text{Bir}_2(\mathbb{P}_{\mathbb{C}}^2)$ is an irreducible algebraic variety of dimension 14. Let $f: \mathbb{P}_{\mathbb{C}}^2 \dashrightarrow \mathbb{P}_{\mathbb{C}}^2$ be a quadratic birational map. The base locus of f (resp. f^{-1}) is made of three points p_1, p_2, p_3 (resp. q_1, q_2, q_3), where infinitely near points are allowed. We have

$$f_*([H]) = 2[H] - [E_{q_1}] - [E_{q_2}] - [E_{q_3}]$$

with $[H]$ the class of a line in $\mathbb{P}_{\mathbb{C}}^2$. If f is an isomorphism on a neighborhood of p , and $f(p) = q$, then $f_*([E_p]) = [E_q]$. These formulas are correct even when there are infinitely near base points. For instance if f is the Hénon map

$$[x : y : z] \dashrightarrow [yz : y^2 - xz : z^2]$$

then q_2 is infinitely near q_1 , and q_3 is infinitely near q_2 , but the formula for the image of $[H]$ is still the same.

A Zariski open subset of $\text{Bir}_2(\mathbb{P}_{\mathbb{C}}^2)$ is made of birational transformations $f = h_1 \circ \sigma \circ h_2$, with $h_i \in \text{Aut}(\mathbb{P}_{\mathbb{C}}^2)$, $i = 1, 2$, and σ the standard quadratic involution

$$\sigma[x : y : z] = [yz : zx : xy].$$

For such maps, $\{p_1, p_2, p_3\}$ is the image of $\text{Ind}(\sigma) = \{[1 : 0 : 0]; [0 : 1 : 0]; [0 : 0 : 1]\}$ by h_2^{-1} , and $\{q_1, q_2, q_3\} = h_1(\text{Ind}(\sigma))$. Moreover, the exceptional set $\text{Exc}(f^{-1})$ is the union of the three lines through the pairs of points (q_i, q_j) , $i \neq j$. Assume, for example, that the line through q_1 and q_2 is contracted on p_1 by f^{-1} , then we have

$$f_*([E_{p_1}]) = [H] - [E_{q_2}] - [E_{q_3}].$$

If f is a general quadratic map, then $\lambda(f)$ is equal to 2 and f_* induces a hyperbolic isometry on $\mathbb{H}_{\bar{\mathbb{Z}}}$; we shall see that it is possible to compute explicitly the points on the axis of f (see §5.1.4 for precise statements) and that $[H]$ is *not* on the axis. In fact, in this situation the axis of f does not contain any finite class $[D] \in \mathcal{Z}(\mathbb{P}_{\mathbb{C}}^2)$.

5. TIGHT BIRATIONAL MAPS

5.1. General Cremona transformations. In this section we prove Theorem A concerning normal subgroups generated by iterates of general Cremona transformations.

5.1.1. *Jonquières transformations.* Let d be a positive integer. As mentioned in the introduction, the set $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$ of plane birational transformations of degree d is quasi-projective: It is a Zariski open subset in a subvariety of the projective space made of triples of homogeneous polynomials of degree d modulo scalar multiplication.

Recall that J_d denotes the set of Jonquières transformations of degree d , defined as the birational transformations of degree d of $\mathbb{P}_{\mathbf{C}}^2$ that preserve the pencil of lines through $q_0 = [1 : 0 : 0]$. Then we define V_d as the image of the composition map

$$(h_1, f, h_2) \mapsto h_1 \circ f \circ h_2$$

where (h_1, f, h_2) describes $\mathrm{PGL}_3(\mathbf{C}) \times J_d \times \mathrm{PGL}_3(\mathbf{C})$. As the image of an irreducible algebraic set by a regular map, V_d is an irreducible subvariety of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{C}}^2)$. The dimension of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{C}}^2)$ is equal to $4d + 6$ and V_d is the unique irreducible component of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{C}}^2)$ of maximal dimension (in that sense, generic elements of $\mathrm{Bir}_d(\mathbb{P}_{\mathbf{C}}^2)$ are contained in V_d). In degree 2, i.e. for quadratic Cremona transformations, V_2 coincides with a Zariski open subset of $\mathrm{Bir}_2(\mathbb{P}_{\mathbf{C}}^2)$.

Let f be an element of J_d . In affine coordinates,

$$f(x, y) = (B_y(x), A(y))$$

where A is in $\mathrm{PGL}_2(\mathbf{C})$ and B_y in $\mathrm{PGL}_2(\mathbf{C}(y))$. Clearing denominators we can assume that B_y is given by a function $B: y \mapsto B(y)$ with

$$B(y) = \begin{pmatrix} a(y) & b(y) \\ c(y) & d(y) \end{pmatrix} \in \mathrm{GL}_2(\mathbf{C}(y)),$$

where the coefficients a, b, c and d are polynomials of respective degrees $d - 1, d, d - 2$ and $d - 1$. The degree of the function $\det(B(y))$ is equal to $2d - 2$; if B is generic, $\det(B(y))$ has $2d - 2$ roots $y_i, 1 \leq i \leq 2d - 2$, and $B(y_i)$ is a rank 1 complex matrix for each of these roots. The image of $B(y_i)$ is a line, and this line corresponds to a point x_i in $\mathbb{P}(\mathbf{C}^2)$. The birational transformation f contracts each horizontal line corresponding to a root y_i onto a point $q_i = (x_i, A(y_i))$. This provides $2d - 2$ points of indeterminacy for f^{-1} ; again, if B is generic, the $2d - 2$ points q_i are distinct, generic points of the plane. The same conclusion holds if we change f into its inverse, and gives rise to $2d - 2$ indeterminacy points p_1, \dots, p_{2d-2} for f . One more indeterminacy point (for f and f^{-1}) coincides with $p_0 = q_0 = [1 : 0 : 0]$.

An easy computation shows that the base locus of f is made of

- (1) the point p_0 itself, with multiplicity $d - 1$;
- (2) the $2d - 2$ single points p_1, \dots, p_{2d-2} .

Any set of three distinct points $\{p_0, p_1, p_2\}$ such that $p_0 = [1 : 0 : 0]$ and p_0, p_1 , and p_2 are not collinear is the indeterminacy set of a Jonquières transformation of degree 2. All sets of distinct points $\{p_0, p_1, \dots, p_4\}$ such that $p_0 = [1 : 0 : 0]$, no three of them are on a line through p_0 , and there is no line containing p_1, p_2, p_3 , and p_4 can be obtained as the indeterminacy set of a Jonquières transformation of degree 3. More generally, the indeterminacy sets of Jonquières transformations of

degree d form a non empty, Zariski open subset in the product $\{p_0\} \times S^{2d-2}(\mathbb{P}_{\mathbb{C}}^2)$, where $S^{2d-2}(\mathbb{P}_{\mathbb{C}}^2)$ is the symmetric product of $2d-2$ copies of the projective plane.

In particular, on the complement of a strict Zariski closed subset of J_d , the points p_i form a set of $2d-1$ distinct points in the plane: There are no infinitely near points in the list. Thus, for a generic element of V_d , we have

$$f_*[H] = d[H] - (d-1)[E_{p_0}] - \sum_{i=1}^{2d-2} [E_{p_i}]$$

where the p_i are generic distinct points of the plane.

Remark 5.1. If $\Sigma \subset \mathbb{P}_{\mathbb{C}}^2$ is a generic set of k points, and h is an automorphism of $\mathbb{P}_{\mathbb{C}}^2$, then h is the identity map as soon as $h(\Sigma) \cap \Sigma$ contains five points. Applied to $\text{Ind}(f)$, we obtain the following: Let g be a generic element of V_d , and h be an automorphism of $\mathbb{P}_{\mathbb{C}}^2$; if h is not the identity map, then $h(\text{Ind}(g)) \cap \text{Ind}(g)$ contains at most four points.

5.1.2. *Tightness is a general property in $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$.* Our goal is to prove the following statement.

Theorem 5.2. *There exists a positive integer k such that for all integers $d \geq 2$ the following properties are satisfied by a general element $g \in V_d$:*

- (1) g is a tight Cremona transformation;
- (2) If $n \geq k$, then g^n generates a normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ whose non trivial elements f satisfy $\lambda(f) \geq d^n$.

Since V_d is irreducible, tight Cremona transformations are dense in V_d ; since V_d is the unique component of $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$ of maximal dimension, properties (1) and (2) are also generally satisfied in $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$. Thus Theorem 5.2 implies Theorem A.

5.1.3. *Strong algebraic stability is a general property.* Given a surface X , a birational transformation $f \in \text{Bir}(X)$ is said to be **algebraically stable** if one of the following equivalent properties hold:

- (1) if x is a point of $\text{Ind}(f)$, then $f^k(x) \notin \text{Ind}(f^{-1})$ for all $k \leq 0$;
- (2) if y is a point of $\text{Ind}(f^{-1})$ then $f^k(y) \notin \text{Ind}(f)$ for all $k \geq 0$;
- (3) the action f^* of f on the Néron-Severi group $N^1(X)$ satisfies $(f^k)^* = (f^*)^k$ for all $k \in \mathbf{Z}$.

If f is an element of $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$, algebraic stability is equivalent to $\lambda(f) = \text{deg}(f)$ (if f is not algebraically stable, property (3) implies $\lambda(f) < \text{deg}(f)$). Condition (2) can be rephrased by saying that f is algebraically stable if

$$f^k(\text{Ind}(f^{-1})) \cap \text{Ind}(f) = \emptyset$$

for all $k \geq 0$. We now prove that general elements of V_d satisfy a property which is stronger than algebraic stability (recall from Remark 4.2 that $\text{Ind}(f) \subset \text{Exc}(f)$).

Lemma 5.3. *If g is a general element of \mathbf{V}_d then*

$$g^k(\text{Ind}(g^{-1})) \cap \text{Exc}(g) = \emptyset \quad (5.1)$$

for all $k \geq 0$. In particular g is algebraically stable.

Proof. For a fixed integer $k \geq 0$, condition (5.1) is equivalent to the existence of a point $m \in \text{Ind}(g^{-1})$ such that $g^k(m) \in \text{Exc}(g)$, and hence to $\text{Jac}_g(g^k(m)) = 0$, where Jac_g is the equation of $\text{Exc}(g)$. This is an algebraic condition, which defines an algebraic subvariety I_k in $\text{Bir}_d(\mathbb{P}_{\mathbb{C}}^2)$.

Fact 5.4. *There exists $g \in \mathbf{V}_d$ such that $g \notin I_k$ for any $k \geq 0$.*

Since \mathbf{V}_d is irreducible, this fact implies that the codimension of I_k is positive and shows that equation (5.1) is satisfied on the intersection of countably many Zariski dense open subsets of \mathbf{V}_d . We are therefore reduced to prove Fact 5.4. For this, let f be the Hénon mapping defined by

$$f([x : y : z]) = \left[\frac{yz^{d-1}}{10} : y^d + xz^{d-1} : z^d \right].$$

The affine plane $\{z \neq 0\}$ is f -invariant, and f restricts to a polynomial automorphism of this plane. The exceptional set $\text{Exc}(f)$ is the line at infinity $\{z = 0\}$, and its image $\text{Ind}(f^{-1})$ is the point $q = [0 : 1 : 0]$. This point is fixed by f : In the affine chart $\{y \neq 0\}$, with affine coordinates $(x, z) = [x : 1 : z]$ around q , the map f is given by

$$(x, z) \mapsto \left(\frac{z^{d-1}}{10(1 + xz^{d-1})}, \frac{z^d}{1 + xz^{d-1}} \right).$$

In particular, q is an attracting fixed point. Let U be the neighborhood of q defined by

$$U = \{[x : 1 : z] ; |x| < 1/10, |z| < 1/10\}.$$

Then, $f(U)$ is contained in $\{[x : 1 : z] ; |x| < 1/90, |z| < 1/90\}$. Let h be the linear transformation of the plane which, in the affine coordinates (x, z) , is the translation $(x, z) \mapsto (x + 1/20, z + 1/20)$. We have $h(f(U)) \subset U \setminus \{z = 0\}$, and $f(U) \cap h(f(U)) = \emptyset$. We now take $g = h \circ f$. Its exceptional set is the line at infinity $\{z = 0\}$; the unique indeterminacy point of g^{-1} is $h(q) = [1/20 : 1 : 1/20]$. By construction, for all $k \geq 0$, $g^k(\text{Ind}(g^{-1}))$ is a point of $U \setminus \text{Exc}(g)$. This proves that g is not in I_k , for any $k \geq 0$. \square

We say that a Cremona transformation g is **strongly algebraically stable** if g and g^{-1} satisfy property (5.1) stated in Lemma 5.3. This lemma shows that general elements of \mathbf{V}_d are strongly algebraically stable.

Recall that algebraic stability implies that g is well defined along the forward orbit $g^k(\text{Ind}(g^{-1}))$, $k \geq 0$; similarly, g^{-1} is well defined along the backward orbit of $\text{Ind}(g)$.

Lemma 5.5. *Let g be strongly algebraically stable. Then we have:*

- (1) *For all $k > j \geq 0$, $g^k(\text{Ind}(g^{-1})) \cap g^j(\text{Ind}(g^{-1})) = \emptyset$;*
- (2) *For all $k > j \geq 0$, $g^{-k}(\text{Ind}(g)) \cap g^{-j}(\text{Ind}(g)) = \emptyset$;*
- (3) *For all $k \geq 0$ and $j \geq 0$, $g^k(\text{Ind}(g^{-1})) \cap g^{-j}(\text{Ind}(g)) = \emptyset$.*

Proof. Suppose that there is a point $q \in g^k(\text{Ind}(g^{-1})) \cap g^j(\text{Ind}(g^{-1}))$. Suppose first that $j = 0$. This means that there exist $p, q \in \text{Ind}(g^{-1})$ such that $g^k(p) = q$. But then $g^{k-1}(p) \in \text{Exc}(g)$, contradicting the assumption. Now assume $j > 0$. By the first step, we know that g^{-1} is well defined along the positive orbit of $\text{Ind}(g^{-1})$. Thus we can apply g^{-j} , which brings us back to the case $j = 0$.

Property (2) is equivalent to Property (1), replacing g by g^{-1} .

Suppose (3) is false. Then there exists $p \in \text{Ind}(g^{-1})$, $q \in \text{Ind}(g)$, $k, j \geq 0$ such that $g^k(p) = g^{-j}(q)$. By (2) we can apply g^j to the right hand side of this equality, thus $q \in g^{k+j}(\text{Ind}(g^{-1})) \cap \text{Ind}(g)$. This contradicts the algebraic stability of g . \square

5.1.4. *Rigidity is a general property.* Let g be an element of \mathbf{V}_d . Consider the isometry g_* of $\bar{Z}(\mathbb{P}_{\mathbf{k}}^2)$. If g is algebraically stable, its dynamical degree is equal to d and the translation length of g_* is equal to $\log(d)$. The Picard-Manin classes $[\alpha]$ and $[\omega]$ corresponding to the end points of the axis of g_* satisfy $g_*[\alpha] = [\alpha]/d$ and $g_*[\omega] = d[\omega]$. To compute explicitly such classes, we start with the class $[H]$ of a line $H \subset \mathbb{P}_{\mathbf{C}}^2$, and use the fact that

$$\frac{1}{d^n} g_*^n [H] \rightarrow c^{ste}[\omega]$$

when n goes to $+\infty$ (see § 4.6.2).

Assuming that g is a general element of \mathbf{V}_d , its base locus is made of one point p_0 of multiplicity $d-1$ and $2d-2$ points p_i , $1 \leq i \leq 2d-2$, of multiplicity 1, and similarly for the base locus of g^{-1} . Note $[E^+]$ (resp. $[E^-]$) the sum of the classes of the exceptional divisors, with multiplicity $d-1$ for the first one, obtained by blowing-up the $2d-1$ distinct points in $\text{Ind}(g)$ (resp. $\text{Ind}(g^{-1})$). We have

$$g_*[H] = d[H] - [E^-], \quad g_*^2[H] = d^2[H] - d[E^-] - g_*[E^-], \quad \text{etc.}$$

Thus, the lines R_g^- and R_g^+ of the Picard-Manin space generated by

$$[\alpha] = [H] - \sum_{i=1}^{\infty} \frac{g_*^{-i+1}[E^+]}{d^i} \quad \text{and} \quad [\omega] = [H] - \sum_{i=1}^{\infty} \frac{g_*^{i-1}[E^-]}{d^i}$$

correspond to the end points of the axis of g_* . By Lemma 5.5, both infinite sums appearing in these formulas are sums of classes of the exceptional divisors obtained by blowing up the backward (resp. forward) orbit of $\text{Ind}(g)$ (resp. $\text{Ind}(g^{-1})$). By construction, $[\alpha]$ and $[\omega]$ satisfy $[\alpha] \cdot [\omega] = 1$ and $[\alpha]^2 = [\omega]^2 = 0$,

$\cosh(a_i)$	a_i
3	$a_1 \simeq 1.76274$
$\sqrt{2}$	$a_2 \simeq 0.88137 = a_1/2$
$3/\sqrt{2}$	$a_3 \simeq 1.38432$
$5/(2\sqrt{2})$	$a_4 \simeq 1.17108$
4	$a_5 \simeq 2.06343$

TABLE 1. Distances and hyperbolic cosines

because both of them are on the boundary of $\mathbb{H}_{\bar{\mathbb{Z}}}$. All points on $\text{Ax}(g_*)$ are linear combinations $u[\alpha] + v[\omega]$ with the condition

$$1 = (u[\alpha] + v[\omega])^2 = 2uv.$$

The intersection of $[H]$ with a point on $\text{Ax}(g_*)$ is minimal for $u = v = \frac{1}{\sqrt{2}}$ and is then equal to $\sqrt{2}$ (independently on d); denote by $[P] = \frac{1}{\sqrt{2}}(\alpha + \omega)$ the point which realizes the minimum. We have

$$[P] = \sqrt{2}[H] - \frac{1}{\sqrt{2}}[R] \quad \text{with} \quad [R] = \frac{[E^+] + [E^-]}{d} + \frac{g_*^{-1}[E^+] + g_*[E^-]}{d^2} + \dots$$

Once again, Lemma 5.5 implies the following fact.

Fact 5.6. *The class $[R]$ is a sum of classes of exceptional divisors obtained by blowing up distinct points of $\mathbb{P}_{\mathbb{C}}^2$ (there is no blow-up of infinitely near points).*

Proposition 5.7. *Let $\varepsilon_0 = 0.289$. Let $d \geq 2$ be an integer and g be a general element of V_d . Let $[P]$ be the Picard-Manin class defined above. If f is a birational transformation of the plane such that $\text{dist}(f_*[Q], [Q]) \leq \varepsilon_0$ for all $[Q]$ in $\{g_*^{-1}[P], [P], g_*[P]\}$, then f is the identity map.*

The proof uses explicit values for distances and hyperbolic cosines that are recorded on Table 1. Using this table, we see that

$$\cosh(a_1 + \varepsilon) < 4 \quad \text{and} \quad a_2 + \varepsilon < a_4 < a_3$$

as soon as $\varepsilon \leq \varepsilon_0 = 0.289$.

Proof. We proceed in three steps.

First step.— We show that if $\text{dist}(f_*[P], [P]) \leq \varepsilon_0$, then f is linear.

By the triangular inequality

$$\begin{aligned} \text{dist}(f_*[H], [H]) &\leq \text{dist}(f_*[H], f_*[P]) + \text{dist}(f_*[P], [P]) + \text{dist}([P], [H]) \\ &\leq 2\text{dist}([P], [H]) + \varepsilon_0. \end{aligned}$$

Recall that $\cosh(\text{dist}([D_1], [D_2])) = [D_1] \cdot [D_2]$ for all pairs of points $[D_1], [D_2]$ in $\mathbb{H}_{\bar{\mathbb{Z}}}$ and that the degree of f is given by $\deg(f) = f_*[H] \cdot [H]$. Using Table 1 we see that $[P] \cdot [H] = \sqrt{2}$ implies $2\text{dist}([P], [H]) = 2a_2 = a_1$. Taking hyperbolic cosines we get

$$\deg(f) \leq \cosh(a_1 + \varepsilon_0) < 4.$$

We conclude that $\deg(f) \leq 3$.

Now we want to exclude the cases $\deg(f) = 3$ or 2 . The following remark will be used twice: Since $[H] \cdot [P] = \sqrt{2}$, we have $\text{dist}([H], [P]) = a_2$; thus, if f_* is an isometry and $\text{dist}(f_*[P], [P]) \leq \varepsilon_0$, applying hyperbolic cosines to the triangular inequality $\text{dist}(f_*[H], [P]) \leq \text{dist}(f_*[H], f_*[P]) + \text{dist}(f_*[P], [P])$, we get $f_*[H] \cdot [P] \leq \cosh(a_2 + \varepsilon_0)$.

Suppose that $\deg(f) = 3$. Then

$$f_*[H] = 3[H] - 2[E_1] - [E_2] - [E_3] - [E_4] - [E_5]$$

for some exceptional divisors E_i above $\mathbb{P}_{\mathbb{C}}^2$ (they may come from blow-ups of infinitely near points). By Fact 5.6, all exceptional classes in the infinite sum defining $[R]$ come from blow-ups of distinct points; hence

$$[2E_1 + E_2 + E_3 + E_4 + E_5] \cdot [R] \geq \frac{1}{d}(-2(d-1) - (d-1) - 1 - 1 - 1) \geq -3.$$

Consider the point $[D]$ of the Picard-Manin space such that $[P]$ is the middle point of the geodesic segment from $[H]$ to $[D]$; explicitly

$$[D] = 2\sqrt{2}[P] - [H] = 3[H] - 2[R].$$

We obtain

$$\begin{aligned} f_*[H] \cdot [D] &= f_*[H] \cdot (3[H] - 2[R]) \\ &= 9 + 2[2E_1 + E_2 + E_3 + E_4 + E_5] \cdot [R] \\ &\geq 3. \end{aligned}$$

On the other hand, $f_*[H] \cdot [H] = 3$ because f has degree 3. Since $2\sqrt{2}[P] = [H] + [D]$ we obtain

$$\cosh(a_2 + \varepsilon_0) \geq f_*[H] \cdot [P] \geq \frac{3+3}{2\sqrt{2}} = \frac{3}{\sqrt{2}} = \cosh(a_3).$$

This contradicts the choice of ε_0 .

Suppose that $\deg(f) = 2$. We have $f_*[H] = 2[H] - [E_1] - [E_2] - [E_3]$ where the $[E_i]$ are classes of exceptional divisors above $\mathbb{P}_{\mathbb{C}}^2$. The product $f_*[H] \cdot [P]$ is

given by

$$\begin{aligned} f_*[H] \cdot [P] &= [2H - E_1 - E_2 - E_3] \cdot \left(\sqrt{2}[H] - \frac{1}{\sqrt{2}}[R] \right) \\ &= 2\sqrt{2} + \frac{1}{\sqrt{2}}[E_1 + E_2 + E_3] \cdot [R] \end{aligned}$$

We now use [Fact 5.6](#): The curves E_1 , E_2 , and E_3 appear at most once in $[R]$. If the points of maximal multiplicity for g and g^{-1} are not both base points of f , or if $d = 2$, we obtain the lower estimate

$$\begin{aligned} &\geq 2\sqrt{2} + \frac{1}{\sqrt{2}}\left(-1 - \frac{1}{d}\right) \\ &\geq 2\sqrt{2} - \frac{3}{2\sqrt{2}} = \frac{5}{2\sqrt{2}} = \cosh(a_4), \end{aligned}$$

As a consequence,

$$\cosh(a_2 + \varepsilon_0) \geq \cosh(a_4),$$

in contradiction with the choice of ε_0 . Thus, either f has degree one, or $d \geq 3$ and the base points of multiplicity $(d-1)$ for g and g^{-1} are indeterminacy points of f .

Second step.— Now we show that if f is in $\text{Aut}(\mathbb{P}_{\mathbb{C}}^2)$ and $\text{dist}(f_*[Q], [Q]) \leq \varepsilon_0$ for $[Q]$ in $\{g_*^{-1}[P], g_*[P]\}$, then f is the identity map.

Applying the assumption to $[Q] = g_*^{-1}[P]$, we get

$$\text{dist}((gf g^{-1})_*[P], [P]) \leq \varepsilon_0$$

and the first step shows that $gf g^{-1}$ must be linear. This implies that $f(\text{Ind}(g))$ coincides with $\text{Ind}(g)$. The same argument with $[Q] = g_*[P]$ gives $f(\text{Ind}(g^{-1})) = \text{Ind}(g^{-1})$. If $\deg(g) \geq 3$, the set $\text{Ind}(g)$ is a generic set of points in $\mathbb{P}_{\mathbb{C}}^2$ with cardinal at least 5, so $f(\text{Ind}(g)) = \text{Ind}(g)$ implies that f is the identity map (see [remark 5.1](#)). Finally, if $\deg(g) = 2$, the set $\text{Ind}(g) \cup \text{Ind}(g^{-1})$ is a generic set of 6 points in the plane, so if $f(\text{Ind}(g)) = \text{Ind}(g)$ and $f(\text{Ind}(g^{-1})) = \text{Ind}(g^{-1})$ then again f is the identity map.

Third step.— We now assume that f has degree 2 and $d \geq 3$; we shall obtain a contradiction, which is also based on the fact that the indeterminacy points of g and its inverse are generic.

We denote by p_0 (resp. q_0) the base point of g (resp. g^{-1}) of multiplicity $(d-1)$; it corresponds to the class $[E_{p_0}]$ (resp. $[E_{q_0}]$). The other base points are denoted p_i (resp. q_i), with $1 \leq i \leq 2d-2$. Since $g_*^{-1}[P]$, $[P]$, and $g_*[P]$ are not displaced by more than ε_0 under the action of f_* , we know that $g^{-1}fg$, f , and

gfg^{-1} have degree at most 2. And the same remark applies if one changes f into f^{-1} . In particular, these birational transformations do not contract any curve of degree ≥ 2 , and they contract at most three lines (not containing a common point).

Since the base points of f include p_0 and q_0 , we can choose projective coordinates such that $p_0 = [1 : 0 : 0]$, $q_0 = [0 : 1 : 0]$, and

$$f = A \circ \sigma \quad \text{or} \quad A \circ \eta$$

with $\sigma[x : y : z] = [yz : zx : xy]$, $\eta[x : y : z] = [xy : z^2 : yz]$, and A in $\text{PGL}_3(\mathbf{C})$; $f = A \circ \sigma$ if it has three proper base points, and $f = A \circ \eta$ if it has two proper base points and one infinitely near base point. The inverse f^{-1} also has degree 2, so that its base points must also include p_0 and q_0 . This implies that A is the composition $A = B \circ M$ of a matrix

$$M = \begin{pmatrix} r & 0 & c \\ 0 & s & b \\ 0 & 0 & 1 \end{pmatrix}$$

which fixes the points p_0 and q_0 projectively and a matrix of permutation B , permuting the points $[1 : 0 : 0]$, $[0 : 1 : 0]$, $[0 : 0 : 1]$ (fixing $[0 : 0 : 1]$ if $f = A \circ \eta$).

Changing g into g^{-1} , we may assume that the points q_i ($i > 0$) are not among the base points of f .

To get a contradiction, we study the curves which are contracted by $g^{-1}fg$. We can order the points p_i and q_i so that the line through p_0 and p_i ($1 \leq i \leq 2d-2$) is contracted by g onto q_i . If $f(q_i)$ is not a base point q_j of g^{-1} ($1 \leq j \leq 2d-2$), this line is contracted by $g^{-1}fg$. This gives four possible lines; among them at most two may be contracted because all four contain the point p_0 . Thus, we get at least two constraints of type $f(q_i) = q_j$. Now, g^{-1} contracts the line through q_0 and q_i onto the point p_i . The preimage of this line by f is the line through q_0 and $f^{-1}(q_i)$, corresponding to the class $[H] - [E_{p_0}] - [E_{f^{-1}(q_i)}]$ in the Picard-Manin space. If this line does not provide another curve contracted by $g^{-1}fg$, then this line must come from an indeterminacy point p_j of g , and we deduce $f^{-1}(q_i) = q_j$. This condition is of the same type as the previous one, but corresponds to another type of contracted curve. Another possibility comes from the line $\{z = 0\}$, which is contracted by f onto $A[0 : 0 : 1]$. Thus, either $A[0 : 0 : 1]$ is one of the base points of g^{-1} , or we get a new curve in the indeterminacy locus of $g^{-1}fg$.

Altogether, we obtain constraints of type

$$A[0 : 0 : 1] = q_j \quad \text{or} \quad f(q_i) = q_j$$

for at least three distinct values of j . Writing $[x_i : y_i : 1]$ for the coordinates of q_i , they correspond to relations of the form

$$(c, b) = (x_j, y_j) \quad \text{or} \quad \left(r \frac{1}{x_i} + c, s \frac{1}{y_i} + b \right) = (x_j, y_j)$$

or to similar relations in which the coordinates of the points $[x_j : y_j : 1]$ are permuted by the matrix B^{-1} . Since there are at least three relations of this type, one can eliminate the parameters r, s, c, b , and obtain non-trivial algebraic constraints between the coordinates x_i (resp. y_i). This contradicts the fact that the indeterminacy points p_i and $q_i (i \geq 1)$ are in general position. \square

Corollary 5.8. *If g is a general element of V_d , then $\text{Ax}(g_*)$ is rigid.*

Proof. Suppose $\text{Ax}(g_*)$ is not rigid. Choose $\eta > 0$. By Proposition 3.3 there exists f which does not preserve $\text{Ax}(g_*)$ such that $d(f_*[Q], [Q]) < \eta$ for all $[Q]$ in the segment $[g_*^{-1}[P], g_*[P]]$. For $\eta < \varepsilon_0$, this contradicts Proposition 5.7. \square

Proof of Theorem 5.2. Let g be a general element of V_d , with $d \geq 2$. Suppose that $f_*(\text{Ax}(g_*)) = \text{Ax}(g_*)$. If f_* preserves the orientation on $\text{Ax}(g_*)$, then $(fgf^{-1}g^{-1})_*$ fixes each point in $\text{Ax}(g_*)$, and Proposition 5.7 gives $fgf^{-1} = g$. Similarly, if f_* reverses the orientation, considering $(fgf^{-1}g)_*$ we obtain $fgf^{-1} = g^{-1}$.

Since we know by Corollary 5.8 that $\text{Ax}(g_*)$ is rigid, we obtain that g_* is tight, hence by Theorem 2.10 g_*^k generates a proper subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$ for large enough k .

We can be more precise on k by reconsidering the proof of Corollary 5.8. The rigidity of the axis of g_* follows from Proposition 5.7, where the condition on ε_0 is independent of d , so by Corollary 3.4 we obtain that $\text{Ax}(g_*)$ is $(\varepsilon_0/2, 7L(g_*))$ -rigid. Recall that θ is defined in section 2.2.1 by $\theta = 8\delta$ and that $\delta = \log(3)$ works for the hyperbolic space $\mathbb{H}_{\mathbb{Z}}$; thus we can choose $\theta = 8\log(3)$, so that $14\theta = 112\log(3) = 123.4\dots \leq 124$. By Lemma 3.2 we obtain that $\text{Ax}(g_*)$ is also $(14\theta, B)$ -rigid, for

$$\begin{aligned} B &\geq \max \left\{ 2728, 2232 + 2 \log \left(5 \frac{\cosh(56\theta) - 1}{\cosh(\varepsilon_0/2) - 1} \right), (28/3)L(g_*) + 248 \right\} \\ &= \max \{ 3220, (28/3)L(g_*) + 248 \}. \end{aligned}$$

Then, Theorem 2.10 requires $kL(g_*) \geq 40B + 1200\theta$. Thus, we see that

$$k = \max \left(\frac{139347}{L(g_*)}, 374 + \frac{10795}{L(g_*)} \right) \leq 201021$$

is sufficient to conclude that g^k generates a proper normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbb{C}}^2)$. Asymptotically, for degrees d with $d \geq \exp(10796)$, we can take $k = 375$. \square

5.2. Automorphisms of rational surfaces.

5.2.1. *Preliminaries.* Let \mathbf{k} be an algebraically closed field, and X be a rational surface defined over \mathbf{k} . Let g be an automorphism of X . If $\varphi: X \dashrightarrow \mathbb{P}_{\mathbf{k}}^2$ is a birational map, conjugation by φ provides an isomorphism between $\text{Bir}(X)$ and $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ and φ_* conjugates the actions of $\text{Bir}(X)$ on $\bar{\mathcal{Z}}(X)$ and $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ on $\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$. We thus identify $\text{Bir}(X)$ to $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ and $\bar{\mathcal{Z}}(X)$ to $\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ without further reference to the choice of φ . This paragraph provides a simple criterion to check whether g is a tight element of the Cremona group $\text{Bir}(X)$.

As explained in §4.6.3, the Néron-Severi group $\mathbf{N}^1(X)$ embeds into the Picard-Manin space $\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2)$ and g_* preserves the orthogonal decomposition

$$\bar{\mathcal{Z}}(\mathbb{P}_{\mathbf{k}}^2) = \mathbf{N}^1(X)_{\mathbf{R}} \oplus \mathbf{N}^1(X)_{\mathbf{R}}^{\perp},$$

where $\mathbf{N}^1(X)_{\mathbf{R}}^{\perp}$ is the orthogonal complement with respect to the intersection form. Assume that g_* is hyperbolic, with axis $\text{Ax}(g_*)$ and translation length $\log(\lambda(g))$. By Lemma 4.7, the plane V_g such that $\text{Ax}(g_*) = \mathbb{H}_{\bar{\mathcal{Z}}} \cap V_g$ is contained in $\mathbf{N}^1(X)_{\mathbf{R}}$.

Remark 5.9. Let h be a birational transformation of X such that h_* preserves V_g . The restriction of h_* to V_g satisfies one of the following two properties.

- (1) h_* and g_* commute on V_g ;
- (2) h_* is an involution of V_g and h_* conjugates g_* to its inverse on V_g .

Indeed, the group of isometries of a hyperbolic quadratic form in two variables is isomorphic to the semi-direct product $\mathbf{R} \rtimes \mathbf{Z}/2\mathbf{Z}$.

Lemma 5.10. *Let g be a hyperbolic automorphism of a rational surface X . Assume that*

- (i) g_* is the identity on the orthogonal complement of V_g in $\mathbf{N}^1(X)_{\mathbf{R}}$;
- (ii) the action of $\text{Aut}(X)$ on $\mathbf{N}^1(X)$ is faithful.

Let h be an automorphism of X such that h_ preserves V_g . Then hgh^{-1} is equal to g or g^{-1} .*

Proof. Let us study the action of h_* and g_* on $\mathbf{N}^1(X)$. Since h_* preserves V_g , it preserves its orthogonal complement V_g^{\perp} and, by assumption (i), commutes to g_* on V_g^{\perp} . If h_* commutes to g_* on V_g , then h_* and g_* commute on $\mathbf{N}^1(X)$, and the conclusion follows from the second assumption. If h_* does not commute to g_* , Remark 5.9 implies that h_* is an involution on V_g , and that $h_*g_*(h_*)^{-1} = (g_*)^{-1}$ on V_g and therefore also on $\mathbf{N}^1(X)$. Once again, assumption (ii) implies that h conjugates g to its inverse. \square

Remark 5.11. The plane V_g is a subspace of $\mathbf{N}^1(X)_{\mathbf{R}}$ and it may very well happen that this plane does not intersect the lattice $\mathbf{N}^1(X)$ (except at the origin).

But, if g_* is the identity on V_g^\perp , then V_g^\perp and V_g are defined over \mathbf{Z} . In that case, $V_g \cap \mathbf{N}^1(X)$ is a rank 2 lattice in the plane V_g . This lattice is g_* -invariant, and the spectral values of the linear transformation $g_* \in \mathrm{GL}(V_g)$ are quadratic integers. From this follows that $\lambda(g)$ is a quadratic integer. On the other hand, if $\lambda(g)$ is a quadratic integer, then V_g is defined over the integers, and so is V_g^\perp . The restriction of g_* to V_g^\perp preserves the lattice $V_g^\perp \cap \mathbf{N}^1(X)$ and a negative definite quadratic form. This implies that a positive iterate of g_* is the identity on V_g^\perp .

Let us now assume that there exists an ample class $[D'] \in \mathbf{N}^1(X) \cap V_g$. In that case, $[D']$ and $g_*[D']$ generate a rank 2 subgroup of $\mathbf{N}^1(X) \cap V_g$ and Remark 5.11 implies that $\lambda(g)$ is a quadratic integer. In what follows, we shall denote by $[D]$ the class

$$[D] = \frac{1}{\sqrt{[D'] \cdot [D']}} [D']. \quad (5.2)$$

This is an ample class with real coefficients that determines a point $[D]$ in $\mathbb{H}_{\bar{\mathbf{Z}}}$.

Lemma 5.12. *Let h be a birational transformation of a projective surface X . Let $[D'] \in \mathbf{N}^1(X)$ be an ample class, and $[D] = [D'] / \sqrt{[D'] \cdot [D']} \in \mathbb{H}_{\bar{\mathbf{Z}}}$. If*

$$\cosh(\mathrm{dist}(h_*[D], [D])) < 1 + ([D'] \cdot [D'])^{-1}$$

then h_ fixes $[D']$ and is an automorphism of X .*

Proof. Write $h_*[D] = [D] + [F] + [R]$ where $[F]$ is in $\mathbf{N}^1(X)_{\mathbf{R}}$ and $[R]$ is in the subspace $\mathbf{N}^1(X)_{\mathbf{R}}^\perp$ of $\bar{\mathbf{Z}}(X)$. More precisely, F is an element of $\mathbf{N}^1(X)$ divided by the square root of the self intersection $[D']^2$, and $[R]$ is a sum $\sum m_i [E_i]$ of exceptional divisors obtained by blowing up points of X , coming from indeterminacy points of h^{-1} ; the m_i are integers divided by the square root of $[D']^2$. We get

$$1 \leq [D] \cdot h_*[D] = [D] \cdot ([D] + [F] + [R]) = 1 + [D] \cdot [F]$$

because $[D]$ does not intersect the $[E_i]$. The number $[D] \cdot [F]$ is a non negative integer divided by $[D']^2$. By assumption, this number is less than $([D'] \cdot [D'])^{-1}$ and so it must be zero. In other words, the distance between $[D]$ and $h_*[D]$ vanishes, and $[D]$ is fixed. Since $[D]$ is ample, h is an automorphism of X . \square

Proposition 5.13. *Let g be a hyperbolic automorphism of a rational surface X . Assume that*

- (i) V_g contains an ample class $[D']$ and
- (ii) g_* is the identity on $V_g^\perp \cap \mathbf{N}^1(X)$.

Then $Ax(g_)$ is rigid. Assume furthermore that*

- (iii) *if $h \in \mathrm{Aut}(X)$ satisfies $h_*(Ax(g_*)) = Ax(g_*)$ then $hgh^{-1} = g$ or g^{-1} .*

Then any $h \in \text{Bir}(X)$ which preserves $\text{Ax}(g_*)$ is an automorphism of X , and g is a tight element of $\text{Bir}(X)$. Thus, for sufficiently large k the iterate g^k generates a non trivial normal subgroup in the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2) = \text{Bir}(X)$.

Note that if the action of $\text{Aut}(X)$ on $\mathbb{N}^1(X)$ is faithful then by Lemma 5.10 condition (iii) is automatically satisfied.

Proof. Let $[D] \in \text{Ax}(g_*)$ be the ample class defined by equation (5.2). If the axis of g_* is not rigid, Proposition 3.3 provides a birational transformation f of X such that the distances between $f_*[D]$ and $[D]$ and between $f_*(g_*[D])$ and $g_*[D]$ are bounded by $([D']^2)^{-1}$, and, moreover, $f_*(\text{Ax}(g_*)) \neq \text{Ax}(g_*)$. Lemma 5.12 implies that f is an automorphism of X fixing both $[D]$ and $g_*[D]$. This contradicts $f_*(\text{Ax}(g_*)) \neq \text{Ax}(g_*)$ and shows that $\text{Ax}(g_*)$ is rigid.

Assume now that $h \in \text{Bir}(X)$ preserves the axis of g_* . Then $h_*[D']$ is an ample class, hence h is an automorphism of X . Property (iii) implies that g is a tight element of $\text{Bir}(X)$. The conclusion follows from Theorem 2.10. \square

In the following paragraphs we construct two families of examples which satisfy the assumption of Proposition 5.13. Note that the surfaces X that we shall consider have quotient singularities; if we blow-up X to get a smooth surface, then the class $[D']$ is big and nef but is no longer ample. The first example is defined over the field of complex numbers \mathbf{C} , while the second works for any algebraically closed field \mathbf{k} .

5.2.2. *Generalized Kummer surfaces.* Consider $\mathbf{Z}[i] \subset \mathbf{C}$ the lattice of Gaussian integers, and let Y be the abelian surface $\mathbf{C}/\mathbf{Z}[i] \times \mathbf{C}/\mathbf{Z}[i]$. The group $\text{GL}_2(\mathbf{Z}[i])$ acts by linear transformations on \mathbf{C}^2 , preserving the lattice $\mathbf{Z}[i] \times \mathbf{Z}[i]$; this provides an embedding $\text{GL}_2(\mathbf{Z}[i]) \rightarrow \text{Aut}(Y)$. Let X be the quotient of Y by the action of the group of order 4 generated by $\eta(x, y) = (ix, iy)$. This surface is rational, with ten singularities, and all of them are quotient singularities that can be resolved by a single blow-up. Such a surface is a so called (generalized) **Kummer surface**; classical Kummer surfaces are quotient of tori by $(x, y) \mapsto (-x, -y)$, and are not rational (these surfaces are examples of K3-surfaces).

The linear map η generates the center of the group $\text{GL}_2(\mathbf{Z}[i])$. As a consequence, $\text{GL}_2(\mathbf{Z}[i])$, or more precisely $\text{PGL}_2(\mathbf{Z}[i])$, acts by automorphisms on X . Let M be an element of the subgroup $\text{SL}_2(\mathbf{Z})$ of $\text{GL}_2(\mathbf{Z}[i])$ such that

- (i) the trace $\text{tr}(M)$ of M is at least 3;
- (ii) M is in the level 2 congruence subgroup of $\text{SL}_2(\mathbf{Z})$, i.e. M is equal to the identity modulo 2.

Let \hat{g} be the automorphism of Y defined by M and g be the automorphism of X induced by \hat{g} .

Theorem 5.14. *The automorphism $g: X \rightarrow X$ satisfies properties (i), (ii), and (iii) of Proposition 5.13. In particular, g determines a tight element of $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$; hence, if k is large enough, g^k generates a non trivial normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$.*

Proof. The Néron-Severi group of Y has rank 4, and is generated by the following classes: The class $[A]$ of horizontal curves $\mathbf{C}/\mathbf{Z}[i] \times \{*\}$, the class $[B]$ of vertical curves $\{*\} \times \mathbf{C}/\mathbf{Z}[i]$, the class $[\Delta]$ of the diagonal $\{(z, z) \in Y\}$, and the class $[\Delta_i]$ of the graph $\{(z, iz) \in Y \mid z \in \mathbf{C}/\mathbf{Z}[i]\}$.

The vector space $H^2(Y, \mathbf{R})$ is isomorphic to the space of bilinear alternating two forms on the 4-dimensional real vector space \mathbf{C}^2 . The action of g_* is given by the action of M^{-1} on this space. The dynamical degree of \hat{g} is equal to the square of the spectral radius of M , i.e. to the quadratic integer

$$\lambda(\hat{g}) = \frac{1}{2} \left(a + \sqrt{a^2 - 4} \right)$$

where $a = \text{tr}(M)^2 - 2 > 2$. Thus, the plane $V_{\hat{g}}$ intersects $\mathbf{N}^1(Y)$ on a lattice. Let $[F]$ be an element of $V_{\hat{g}} \cap \mathbf{N}^1(X)$ with $[F]^2 > 0$ (see Remark 5.11). Since Y is an abelian variety, then $[F]$ (or its opposite) is ample. Since M has integer coefficients, the linear map \hat{g}_* preserves the three dimensional subspace W of $\mathbf{N}^1(Y)$ generated by $[A]$, $[B]$ and $[\Delta]$. The orthogonal complement of $V_{\hat{g}}$ intersects W on a line, on which \hat{g}_* must be the identity, because $\det(M) = 1$. The orthogonal complement of W is also a line, so that \hat{g}_* is the identity on $V_{\hat{g}}^{\perp} \subset \mathbf{N}^1(Y)$.

Transporting this picture in $\mathbf{N}^1(X)$, we obtain: The dynamical degree of g is equal to the dynamical degree of \hat{g} (see [36], for more general results), the plane $V_{\hat{g}}$ surjects onto V_g , the image of $[F]$ is an ample class $[D']$ contained in $V_g \cap \mathbf{N}^1(X)$, and g_* is the identity on V_g^{\perp} .

Automorphisms of X permute the ten singularities of X . The fundamental group Γ of $X \setminus \text{Sing}(X)$ is the affine group $\mathbf{Z}/4\mathbf{Z} \ltimes (\mathbf{Z}[i] \times \mathbf{Z}[i])$ where $\mathbf{Z}/4\mathbf{Z}$ is generated by η . The abelian group $\mathbf{Z}[i] \times \mathbf{Z}[i]$ is the unique maximal free abelian subgroup of rank 4 in Γ and, as such, is invariant under all automorphisms of Γ . This implies that all automorphisms of X lift to (affine) automorphisms of Y .

Let h be an automorphism of X which preserves the axis $\text{Ax}(g_*)$. Then h_* conjugates g_* to g_* or $(g_*)^{-1}$ (Remark 5.9), and we must show that h conjugates g to g or g^{-1} . Let \hat{h} be a lift of h to Y . There exists a linear transformation $N \in \text{GL}_2(\mathbf{C})$ and a point $(a, b) \in Y$ such that

$$\hat{h}(x, y) = N(x, y) + (a, b).$$

The lattice $\mathbf{Z}[i] \times \mathbf{Z}[i]$ is N -invariant, and N conjugates M to M or its inverse M^{-1} , because h_* conjugates g_* to g_* or its inverse. Then

$$\hat{h} \circ \hat{g} \circ \hat{h}^{-1} = M^{\pm 1}(x, y) + (\text{Id} - M^{\pm 1})(a, b).$$

On the other hand, since \hat{h} is a lift of an automorphism of X , the translation $t : (x, y) \mapsto (x, y) + (a, b)$ is normalized by the cyclic group generated by η . Thus a and b are in $(1/2)\mathbf{Z}[i]$. Since M is the identity modulo 2, we have $M(a, b) = (a, b)$ modulo $\mathbf{Z}[i] \times \mathbf{Z}[i]$. Hence $\hat{h} \circ \hat{g} \circ \hat{h}^{-1} = \hat{g}^{\pm 1}$ and, coming back to X , h conjugates g to g or its inverse. \square

Remark 5.15. The lattice of Gaussian integers can be replaced by the lattice of Eisenstein integers $\mathbf{Z}[j] \subset \mathbf{C}$, with $j^3 = 1$, $j \neq 1$, and the homothety η by $\eta(x, y) = (jx, jy)$. This leads to a second rational Kummer surface with an action of the group $\mathrm{PSL}_2(\mathbf{Z})$; a statement similar to Theorem B can be proved for this example.

5.2.3. *Coble surfaces.* Let \mathbf{k} be an algebraically closed field. Let $S \subset \mathbb{P}_{\mathbf{k}}^2$ be a rational sextic curve, with ten double points m_i , $1 \leq i \leq 10$; such sextic curves exist and, modulo the action of $\mathrm{Aut}(\mathbb{P}_{\mathbf{k}}^2)$, they depend on 9 parameters (see [37], the appendix of [34], or [15]). Let X be the surface obtained by blowing up the ten double points of S : By definition X is the **Coble surface** defined by S .

Let $\pi : X \rightarrow \mathbb{P}_{\mathbf{k}}^2$ be the natural projection and E_i , $1 \leq i \leq 10$, be the exceptional divisors of π . The canonical class of X is

$$[K_X] = -3[H] + \sum_{i=1}^{10} [E_i]$$

where $[H]$ is the pullback by π of the class of a line. The strict transform S' of S is an irreducible divisor of X , and its class $[S']$ coincides with $-2[K_X]$; more precisely, there is a rational section Ω of $2K_X$ that does not vanish and has simple poles along S' .

Remark 5.16. Another definition of Coble surfaces requires X to be a smooth rational surface with a non zero regular section of $-2K_X$: Such a definition includes our Coble surfaces (the section vanishes along S') but it includes also the Kummer surfaces from the previous paragraph (see [27]). Our definition is more restrictive.

The self-intersection of S' is -4 , and S' can be blown down: This provides a birational morphism $q : X \rightarrow X_0$; the surface X_0 has a unique singularity, at $m = q(S')$. The section Ω defines a holomorphic section of $K_{X_0}^{\otimes 2}$ that trivializes $2K_{X_0}$ in the complement of m ; in particular, $H^0(X, -2K_X)$ has dimension 1, and the base locus of $-2K_X$ coincides with S' . The automorphism group $\mathrm{Aut}(X)$ acts linearly on the space of sections of $-2K_X$, and preserves its base locus S' . It follows that q conjugates $\mathrm{Aut}(X)$ and $\mathrm{Aut}(X_0)$.

The rank of the Néron-Severi group $\mathbf{N}^1(X)$ is equal to 11. Let W be the orthogonal complement of $[K_X]$ with respect to the intersection form. The linear

map $q^*: \mathbf{N}^1(X_0) \rightarrow \mathbf{N}^1(X)$ provides an isomorphism between $\mathbf{N}^1(X_0)$ and its image $W = [K_X]^\perp \subset \mathbf{N}^1(X)$. Let $O'(\mathbf{N}^1(X))$ be the group of isometries of the lattice $\mathbf{N}^1(X)$ which preserve the canonical class $[K_X]$.

We shall say that S (resp. X) is **special** when at least one of the following properties occurs (see [24], [15] page 147):

- (1) three of the points m_i are colinear;
- (2) six of the points m_i lie on a conic;
- (3) eight of the m_i lie on a cubic curve with a double point at one of them;
- (4) the points m_i lie on a quartic curve with a triple point at one of them.

Theorem 5.17 (Coble's theorem). *Let \mathbf{k} be an algebraically closed field. The set of special sextics is a proper Zariski closed subset of the space of rational sextic curves $S \subset \mathbb{P}_k^2$. If S is not special and X is the associated Coble surface then the morphism*

$$\begin{aligned} \text{Aut}(X) &\mapsto O'(\mathbf{N}^1(X)) \\ f &\rightarrow f_* \end{aligned}$$

is injective and its image is the level 2 congruence subgroup of $O'(\mathbf{N}^1(X))$.

This theorem is due to Coble, and can be found in [12]. A proof is sketched in [25, 26], and a complete, characteristic free, proof is available in [7]; analogous result and proof for generic Enriques surfaces can be found in [23]. The main steps are the following. The automorphism group of X can be identified with a normal subgroup of $O'(\mathbf{N}^1(X))$; this group is generated, as a normal subgroup, by an explicit involution. To realize this involution by an automorphism, one constructs a 2 to 1 morphism from X to a Del Pezzo surface and takes the involution of this cover.

Remark 5.18. Let $\text{Amp}(W)$ be the set of ample classes in $\mathbf{N}^1(X_0) \otimes \mathbf{R} \simeq W \otimes \mathbf{R}$. This convex cone is invariant under the action of $\text{Aut}(X)$, hence under the action of a finite index subgroup of the orthogonal group $O(W)$. As such, $\text{Amp}(W)$ is equal to $\{[D] \in W \mid [D]^2 > 0, [D] \cdot [H] > 0\}$.

Let S be a generic rational sextic, and X be its associated Coble surface. Theorem 5.17 gives a recipe to construct automorphisms of X : Let ψ be an isometry of the lattice W ; if ψ is equal to the identity modulo 2, and $\psi[H] \cdot [H] > 0$, then $\psi = g_*$ for a unique automorphism of X . Let us apply this idea to cook up a tight automorphism of X .

Lemma 5.19 (Pell -Fermat equation). *Let $Q(u, v) = au^2 + buv + cv^2$ be a quadratic binary form with integer coefficients. Assume that Q is non degenerate, indefinite, and does not represent 0. Then there exists an isometry ϕ in the orthogonal group $O_Q(\mathbf{Z})$ with eigenvalues $\lambda(Q) > 1 > 1/\lambda(Q) > 0$.*

Sketch of the proof. Isometries in $O_Q(\mathbf{Z})$ correspond to units in the quadratic field defined by the polynomial $Q(t, 1) \in \mathbf{Z}[t]$; finding units, or isometries, is a special case of Dirichlet's units theorem and amounts to solve a Pell-Fermat equation (see [31], chapter V.1). \square

Let $[D_1]$ and $[D_2]$ be the elements of $\mathbf{N}^1(X)$ defined by

$$\begin{aligned} [D_1] &= 6[H] - [E_9] - [E_{10}] - \sum_{i=1}^8 2[E_i], \\ [D_2] &= 6[H] - [E_7] - [E_8] - \sum_{i \neq 7,8} 2[E_i]. \end{aligned}$$

Both of them have self intersection 2, are contained in W , and intersect $[H]$ positively; as explained in Remark 5.18, $[D_1]$ and $[D_2]$ are ample classes of X_0 . Let V be the plane containing $[D_1]$ and $[D_2]$, and Q be the restriction of the intersection form to V . If u and v are integers, then

$$Q(u[D_1] + v[D_2]) = (u[D_1] + v[D_2]) \cdot (u[D_1] + v[D_2]) = 2u^2 + 8uv + 2v^2$$

because $[D_1] \cdot [D_2] = 4$. This quadratic form does not represent 0, because its discriminant is not a perfect square. From Lemma 5.19, there is an isometry ϕ of V with an eigenvalue $\lambda(\phi) > 1$. In fact, an explicit computation shows that the group of isometries of Q is the semi-direct product of the group $\mathbf{Z}/2\mathbf{Z}$ generated by the involution which permutes $[D_1]$ and $[D_2]$ and the cyclic group \mathbf{Z} generated by the isometry ϕ defined by

$$\phi([D_1]) = 4[D_1] + [D_2], \quad \phi([D_2]) = -[D_1].$$

The second iterate of ϕ is equal to the identity modulo 2. Coble's theorem (Theorem 5.17) now implies that there exists a unique automorphism g of X such that

- (1) g_* coincides with ϕ^2 on V ;
- (2) g_* is the identity on the orthogonal complement V^\perp .

The dynamical degree of g is the square of $\lambda(\phi)$, and is equal to $7 + 4\sqrt{3}$. Properties (i), (ii), and (iii) of Proposition 5.13 are satisfied. Thus, large powers of g generate non trivial normal subgroups of the Cremona group:

Theorem 5.20. *Let \mathbf{k} be an algebraically closed field. Let X be a generic Coble surface defined over \mathbf{k} . There are hyperbolic automorphisms of X that generate non trivial normal subgroups of the Cremona group $\text{Bir}(X_{\mathbf{k}}) = \text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$.*

As a corollary, the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is not simple if \mathbf{k} is algebraically closed, as announced in the Introduction.

6. COMPLEMENTS

6.1. Polynomial automorphisms and monomial transformations. The group of polynomial automorphisms of the affine plane, and the group of monomial transformations of $\mathbb{P}_{\mathbf{C}}^2$ were both sources of inspiration for the results in this paper. We now use these groups to construct hyperbolic elements g of $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ for which $\langle\langle g \rangle\rangle$ coincides with $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$.

6.1.1. Monomial transformations. Consider the group of monomial transformations of $\mathbb{P}_{\mathbf{k}}^2$. By definition, this group is isomorphic to $\text{GL}_2(\mathbf{Z})$, acting by

$$\begin{pmatrix} a & b \\ c & d \end{pmatrix} : (x, y) \mapsto (x^a y^b, x^c y^d)$$

in affine coordinates (x, y) . The matrix $-\text{Id}$ corresponds to the standard quadratic involution $\sigma(x, y) = (1/x, 1/y)$.

If one considers $\text{PSL}_2(\mathbf{Z})$ as a subgroup of $\text{PSL}_2(\mathbf{R}) \simeq \text{Isom}(\mathbb{H}^2)$, it is an interesting exercise to check that all hyperbolic matrices of $\text{PSL}_2(\mathbf{Z})$ are tight elements of $\text{PSL}_2(\mathbf{Z})$ (see [44]). However, when we see $\text{GL}_2(\mathbf{Z})$ as a subgroup of the Cremona group, we obtain the following striking remark.

Proposition 6.1. *Let $g: \mathbb{P}_{\mathbf{k}}^2 \rightarrow \mathbb{P}_{\mathbf{k}}^2$ be a non-trivial monomial transformation. The normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ generated by g is not proper: $\langle\langle g \rangle\rangle = \text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$.*

Remark 6.2 (Gizatullin and Noether). If N is a normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ containing a non trivial automorphism of $\mathbb{P}_{\mathbf{k}}^2$, then N coincides with $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$. The proof is as follows (see [35, 9]). Since $\text{Aut}(\mathbb{P}_{\mathbf{k}}^2)$ is the simple group $\text{PGL}_3(\mathbf{k})$ and N is normal, N contains $\text{Aut}(\mathbb{P}_{\mathbf{k}}^2)$. In particular, N contains the automorphism h defined by

$$h(x, y) = (1 - x, 1 - y)$$

in affine coordinates. An easy calculation shows that the standard quadratic involution σ satisfies $\sigma = (h\sigma)h(h\sigma)^{-1}$; hence, σ is conjugate to h , and σ is contained in N . The conclusion follows from Noether's theorem, which states that σ and $\text{Aut}(\mathbb{P}_{\mathbf{k}}^2)$ generate $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ (see [42], §2.5).

Proof of Proposition 6.1. Let $g = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$ be any non trivial monomial map in $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$. The commutator of g with the diagonal map $f(x, y) = (\alpha x, \beta y)$ is the diagonal map

$$g^{-1}f^{-1}gf : (x, y) \mapsto (\alpha^{1-d}\beta^b x, \alpha^c\beta^{1-a}y). \tag{6.1}$$

Thus, the normal subgroup $\langle\langle g \rangle\rangle$ contains an element of $\text{Aut}(\mathbb{P}_{\mathbf{C}}^2) \setminus \{\text{Id}\}$ and Remark 6.2 concludes the proof. \square

6.1.2. *Polynomial automorphisms.* As mentioned in the Introduction, Danilov proved that the group $\text{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ of polynomial automorphisms of the affine plane $\mathbb{A}_{\mathbf{k}}^2$ with Jacobian determinant one is not simple. Danilov’s proof uses an action on a tree. Since $\text{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ is a subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$, we also have the action of $\text{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ on the hyperbolic space $\mathbb{H}_{\bar{\mathbf{z}}}$. It is a nice observation that $g \in \text{Aut}[\mathbb{A}_{\mathbf{k}}^2]_1$ determines a hyperbolic isometry of the tree if and only if it determines a hyperbolic isometry of $\mathbb{H}_{\bar{\mathbf{z}}}$: In both cases, hyperbolicity corresponds to an exponential growth of the sequence of degrees $\deg(g^n)$.

Fix a number $a \in \mathbf{k}^*$ and a polynomial $p \in \mathbf{k}[y]$ of degree $d \geq 2$, and consider the automorphism of $\mathbb{A}_{\mathbf{k}}^2$ defined by $h(x, y) = (y, p(y) - ax)$. This automorphism determines an algebraically stable birational transformation of $\mathbb{P}_{\mathbf{k}}^2$, namely

$$h[x : y : z] = [yz^{d-1} : P(y, z) - axz^{d-1} : z^d], \tag{6.2}$$

where $P(y, z) = p(y/z)z^d$. There is a unique indeterminacy point $\text{Ind}(h) = \{[1 : 0 : 0]\}$, and a unique indeterminacy point for the inverse, $\text{Ind}(h^{-1}) = \{[0 : 1 : 0]\}$. This Cremona transformation is hyperbolic, with translation length $L(h_*) = \log(d)$; in particular, the translation length goes to infinity with d .

Proposition 6.3 (See also [9]). *For all integers $d \geq 2$, equation (6.2) defines a subset $H_d \subset \mathbb{V}_d$ which depends on $d + 2$ parameters and satisfies: For all h in H_d , h is a hyperbolic, algebraically stable Cremona transformation, but the normal subgroup generated by h coincides with $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$.*

Proof. The automorphism h is the composition of the Jonquières transformation $(x, y) \mapsto (P(y) - ax, y)$ and the linear map $(x, y) \mapsto (y, x)$. As such, h is an element of \mathbb{V}_d . If f denotes the automorphism $f(x, y) = (x, y + 1)$, then

$$(h^{-1} \circ f \circ h)(x, y) = (x - a^{-1}, y)$$

is linear (thus, the second step in the proof of proposition 5.7 does not work for h). As a consequence, the commutator $f^{-1}h^{-1}fh$ is linear and $\langle\langle h \rangle\rangle$ intersects $\text{Aut}(\mathbb{P}_{\mathbf{k}}^2)$ non trivially. The conclusion follows from Remark 6.2. \square

Note that, for h in H_d and large integers n , we expect $\langle\langle h^n \rangle\rangle$ to be a proper normal subgroup of the Cremona group:

Question 6.4. Let \mathbf{k} be any field. Consider the polynomial automorphism

$$g: (x, y) \mapsto (y, y^2 + x).$$

Does there exist an integer $n > 0$ (independent of \mathbf{k}) such that $\langle\langle g^n \rangle\rangle$ is a proper normal subgroup of $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$?

The main point would be to adapt Step 2 in the proof of Proposition 5.7.

6.2. Projective surfaces. The reason why we focused on the group $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ comes from the fact that $\text{Bir}(X)$ is small compared to $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ when X is an irrational complex projective surface. The proof of the following proposition illustrates this property.

Proposition 6.5. *Let X be a complex projective surface. If the group $\text{Bir}(X)$ is infinite and simple, then X is birationally equivalent to $C \times \mathbb{P}^1(\mathbf{C})$ where C is a curve with trivial automorphism group.*

Sketch of the proof. Assume, first, that the Kodaira dimension of X is non negative. Replace X by its unique minimal model, and identify $\text{Bir}(X)$ with $\text{Aut}(X)$. The group $\text{Aut}(X)$ acts on the homology of X , and the kernel is equal to its connected component $\text{Aut}(X)^0$ up to finite index. The action on the homology group provides a morphism to $\text{GL}_n(\mathbf{Z})$ for some $n \geq 1$. Reducing modulo p for large primes p , one sees that $\text{GL}_n(\mathbf{Z})$ is residually finite. Since $\text{Aut}(X)$ is assumed to be simple, this implies that $\text{Aut}(X)$ coincides with $\text{Aut}(X)^0$. But $\text{Aut}(X)^0$ is abelian for surfaces with non negative Kodaira dimension (see [1]). Thus $\text{Bir}(X) = \text{Aut}(X)$ is not both infinite and simple when the Kodaira dimension of X is ≥ 0 . Assume now that X is ruled and not rational. Up to a birational change of coordinates, X is a product $\mathbb{P}_{\mathbf{C}}^1 \times C$ where C is a smooth curve of genus $g(C) \geq 1$. The group $\text{Bir}(X)$ projects surjectively onto $\text{Aut}(C)$. By simplicity, $\text{Aut}(C)$ must be trivial. In that case, $\text{Bir}(X)$ coincides with the infinite simple group $\text{PGL}_2(\mathcal{M}(C))$ where $\mathcal{M}(C)$ is the field of meromorphic functions of C . The remaining case is when X is rational, and Theorem A concludes the proof. \square

6.3. SQ-universality and the number of quotients. As a direct consequence of Theorem 2.10 and the existence of tight elements in $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$, the Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ has an uncountable number of distinct normal subgroups. Recently, Dahmani, Guirardel, and Osin obtained a better, much more powerful version of Theorem 2.10, which applies to the Cremona group in the same way as Theorem C implies Theorem A, because the existence of tight elements in $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ is sufficient to apply Dahmani, Guirardel, and Osin's theorems. We only describe one consequence of their results that strengthen the above mentioned fact that $\text{Bir}(\mathbb{P}_{\mathbf{C}}^2)$ has uncountably many normal subgroups, and refer to [16] for other statements.

A group is said to be **SQ-universal** (or SubQuotient-universal) if every countable group can be embedded into one of its quotients. For example, the pioneering work [39] proves that the free group over two generators is SQ-universal. If G is a non elementary hyperbolic group, then G is SQ-universal. This result has been obtained by Delzant and Olshanskii in [18] and [50].

Theorem 6.6 (see [16]). *Let \mathbf{k} be an algebraically closed field. The Cremona group $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is SQ-universal.*

Note that SQ-universality implies the existence of an uncountable number of non isomorphic quotients.

APPENDIX A. THE CREMONA GROUP IS NOT AN AMALGAM

YVES DE CORNULIER ²

Let \mathbf{k} be a field. The *Cremona group* $\text{Bir}(\mathbb{P}_{\mathbf{k}}^d)$ of \mathbf{k} in dimension d is defined as the group of birational transformations of the d -dimensional \mathbf{k} -affine space. It can also be described as the group of \mathbf{k} -automorphisms of the field of rational functions $\mathbf{k}(t_1, \dots, t_d)$. We endow it with the discrete topology.

Let us say that a group has *Property* $(\mathbf{FR})_{\infty}$ if it satisfies the following

- (A.1) For every isometric action on a complete real tree, every element has a fixed point.

Here we prove the following result.

Theorem A.1. *If \mathbf{k} is an algebraically closed field, then $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ has Property $(\mathbf{FR})_{\infty}$.*

Corollary A.2. *The Cremona group does not decompose as a nontrivial amalgam.*

Recall that a *real tree* can be defined in the following equivalent ways (see [11])

- A geodesic metric space which is 0-hyperbolic in the sense of Gromov;
- A uniquely geodesic metric space for which $[ac] \subset [ab] \cup [bc]$ for all a, b, c ;
- A geodesic metric space with no subspace homeomorphic to the circle.

In a real tree, a *ray* is a geodesic embedding of the half-line. An *end* is an equivalence class of rays modulo being at bounded distance. For a group of isometries of a real tree, to *stably fix* an end means to pointwise stabilize a ray modulo eventual coincidence (it means it fixes the end as well as the corresponding Busemann function).

For a group Γ , Property $(\mathbf{FR})_{\infty}$ has the following equivalent characterizations:

- (A.2) For every isometric action of Γ on a complete real tree, every finitely generated subgroup has a fixed point.
- (A.3) Every isometric action of Γ on a complete real tree either has a fixed point, or stably fixes a point at infinity (in the sense above).

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The equivalence between these three properties is justified in Lemma A.9. Similarly, we can define the weaker *Property* $(\text{FA})_\infty$, replacing complete real trees by ordinary trees (and allowing fixed points to be middle of edges), and the three corresponding equivalent properties are equivalent [52] to the following fourth: the group is not a nontrivial amalgam and has no homomorphism onto the group of integers. In particular, Corollary A.2 follows from Theorem A.1.

Remark A.3. a.– Note that the statement for actions on real trees (rather than trees) is strictly stronger. Indeed, unless \mathbf{k} is algebraic over a finite field, the group $\text{PGL}_2(\mathbf{k}) = \text{Bir}(\mathbb{P}_{\mathbf{k}}^1)$ does act isometrically on a real tree with a hyperbolic element (this uses the existence of a nontrivial real-valued valuation on \mathbf{k}), but does not have such an action on a discrete tree (see Proposition A.8).

A.3. b.– Note that $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ always has an action on a discrete tree with no fixed point (i.e. no fixed point on the 1-skeleton) when \mathbf{k} is algebraically closed, and more generally whenever \mathbf{k} is an infinitely generated field: write, with the help of a transcendence basis, \mathbf{k} as the union of an increasing sequence of proper subfields $\mathbf{k} = \bigcup \mathbf{k}_n$, then $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ is the increasing union of its proper subgroups $\text{Bir}(\mathbb{P}_{\mathbf{k}_n}^2)$, and thus acts on the disjoint union of the coset spaces $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)/\text{Bir}(\mathbb{P}_{\mathbf{k}_n}^2)$, which is in a natural way the vertex set of a tree on which $\text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$ acts with no fixed point (this is a classical construction of Serre [52, Chap I, §6.1]).

A.3. c.– Theorem A.1 could be stated, with a similar proof, for actions on Λ -trees when Λ is an arbitrary ordered abelian group (see [11] for an introduction to Λ -metric spaces and Λ -trees).

In the following, \mathcal{T} is a complete real tree; all actions on \mathcal{T} are assumed to be isometric. We begin by a few lemmas.

Lemma A.4. *Let x_0, \dots, x_k be points in a real tree \mathcal{T} and $s \geq 0$. Assume that $d(x_i, x_j) = s|i - j|$ holds for all i, j such that $|i - j| \leq 2$. Then it holds for all i, j .*

Proof. This is an induction; for $k \leq 2$ there is nothing to prove. Suppose $k \geq 3$ and the result known up to $k - 1$, so that the formula holds except maybe for $\{i, j\} = \{0, k\}$. Join x_i to x_{i+1} by segments. By the induction, the $k - 1$ first segments, and the $k - 1$ last segments, concatenate to geodesic segments. But the first and the last of these k segments are also disjoint, otherwise picking the “smallest” point in the last segment that also belongs to the first one, we find an injective loop, contradicting that \mathcal{T} is a real tree. Therefore the k segments concatenate to a geodesic segment and $d(x_0, x_k) = sk$. \square

Lemma A.5. *If \mathbf{k} is any field and $d \geq 3$, then $\Gamma = \text{SL}_d(\mathbf{k})$ has *Property* $(\text{FR})_\infty$. In particular, if \mathbf{k} is algebraically closed, then $\text{PGL}_d(\mathbf{k})$ has *Property* $(\text{FR})_\infty$.*

Proof. Let Γ act on \mathcal{T} . Let F be a finite subset of Γ . Every element of F can be written as a product of elementary matrices. Let A be the (finitely generated) subring of \mathbf{k} generated by all entries of those matrices. Then $F \subset \text{EL}_d(A)$, the subgroup of $\text{SL}_d(A)$ generated by elementary matrices. By the Shalom-Vaserstein Theorem (see [29]), $\text{EL}_d(A)$ has Kazhdan's Property (T) and in particular has a fixed point in \mathcal{T} , so F has a fixed point in \mathcal{T} . (There certainly exists a more elementary proof, but this one also shows that for every isometric action of $\text{SL}_d(\mathbf{k})$ on a Hilbert space, every finitely generated subgroup fixes a point.) \square

Fix the following notation: $G = \text{Bir}(\mathbb{P}_{\mathbf{k}}^2)$; $H = \text{PGL}_3(\mathbf{k}) = \text{Aut}(\mathbb{P}_{\mathbf{k}}^2) \subset G$; σ is the Cremona involution, acting in affine coordinates by $\sigma(x, y) = (x^{-1}, y^{-1})$. The Max Noether Theorem is that $G = \langle H, \sigma \rangle$. Let C be the standard Cartan subgroup of H , that is, the semidirect product of the diagonal matrices by the Weyl group (of order 6). Let $\mu \in H$ be the involution given in affine coordinates by $\mu(x, y) = (1 - x, 1 - y)$.

Lemma A.6. *We have $\langle C, \mu \rangle = H$.*

Proof. We only give a sketch, the details being left to the reader. In GL_3 , μ can be written as the matrix $\begin{pmatrix} -1 & 0 & 1 \\ 0 & -1 & 1 \\ 0 & 0 & 1 \end{pmatrix}$. Multiply μ by its conjugate by a suitable diagonal matrix to obtain an elementary matrix; conjugating by elements of C provide all elementary matrices and thus we obtain all matrices with determinant one; since C also contains diagonal matrices, we are done. \square

Lemma A.7. *Let G act on \mathcal{T} so that H has no fixed point and has a (unique) stably fixed end. Then G stably fixes this unique end.*

Proof. Let ω be the unique end stably fixed by H (recall that if it is represented by a ray (x_t) , this means that for every $h \in H$ there exists $t_0 = t_0(h)$ such that h fixes x_t for all $t \geq t_0$). Then $\sigma H \sigma^{-1}$ stably fixes $\sigma\omega$. In particular, since $\sigma C \sigma^{-1} = C$, the end $\sigma\omega$ is also stably fixed by C . If $\sigma\omega = \omega$, then ω is stably fixed by σ and then by the Max Noether Theorem, ω is stably fixed by G . Otherwise, let D be the line joining ω and $\sigma\omega \neq \omega$. Since both ends of D are stably fixed by C , the line D is pointwise fixed by C . Also, μ stably fixes the end ω and therefore for some t , x_t is fixed by μ and therefore, by Lemma A.6, is fixed by all of H , contradicting the assumption. \square

Proof of Theorem A.1. Note that $\mu \in H$ and $\mu\sigma$ has order three. It follows that $\sigma = (\mu\sigma)\mu(\mu\sigma)^{-1}$. Using the Max Noether Theorem, it follows that $H_1 = H$ and $H_2 = \sigma H \sigma^{-1}$ generate G .

Consider an action of G on \mathcal{T} . By Lemmas A.5 and A.7, we only have to consider the case when H has a fixed point; in this case, let us show that G

has a fixed point. Assume the contrary. Let \mathcal{T}_i be the set of fixed points of H_i ($i = 1, 2$); they are exchanged by σ and since $\langle H_1, H_2 \rangle = G$, we see that the two trees \mathcal{T}_1 and \mathcal{T}_2 are disjoint. Let $\mathcal{S} = [x_1, x_2]$ be the minimal segment joining the two trees ($x_i \in \mathcal{T}_i$) and $s > 0$ its length. Then \mathcal{S} is pointwise fixed by $C \subset H_1 \cap H_2$ and reversed by σ .

Claim. For all $k \geq 1$, the distance of x_1 with $(\sigma\mu)^k x_1$ is exactly sk .

The claim is clearly a contradiction since $(\sigma\mu)^3 = 1$. To check the claim, let us apply Lemma A.4 to the sequence $((\sigma\mu)^k x_1)$: namely to check that

$$d((\sigma\mu)^k x_1, (\sigma\mu)^\ell x_1) = |k - \ell|s$$

for all k, ℓ it is enough to check it for $|k - \ell| \leq 2$; by translation it is enough to check it for $k = 1, 2$ and $\ell = 0$. For $k = 1$, $d(\sigma\mu x_1, x_1) = d(\sigma x_1, x_1) = d(x_2, x_1) = s$. Since $\langle C, \mu \rangle = H$ by Lemma A.6, the image of $[x_1, x_2]$ by μ is a segment $[x_1, \mu x_2]$ intersecting the segment $[x_1, x_2]$ only at x_1 ; in particular, $d(x_2, \mu x_2) = 2s$. Hence, under the assumptions of the claim

$$d(\sigma\mu\sigma\mu x_1, x_1) = d(\mu\sigma x_1, \sigma x_1) = d(\mu x_2, x_2) = 2s.$$

This proves the claim for $k = 2$ and the proof is complete. □

For reference we include

Proposition A.8. *If \mathbf{k} is algebraically closed, the group $\mathrm{PGL}_2(\mathbf{k})$ has Property $(\mathrm{FA})_\infty$ but, unless \mathbf{k} is an algebraic closure of a finite field, does not satisfy $(\mathrm{FR})_\infty$.*

Proof. If \mathbf{k} has characteristic zero, the group $\mathrm{PGL}_2(\mathbf{k})$ has the property that the square of every element is divisible (i.e. has n th roots for all $n > 0$). This implies that no element can act hyperbolically on a discrete tree: indeed, in the automorphism group of a tree, the translation length of any element is an integer and the translation length of x^n is n times the translation length of x . If \mathbf{k} has characteristic p the same argument holds: for every x , x^{2^p} is divisible.

On the other hand, let I be a transcendence basis of \mathbf{k} and assume it nonempty, and $x_0 \in I$. Set $\mathbf{L} = \mathbf{k}(I - \{x_0\})$, so that \mathbf{k} is an algebraic closure of $\mathbf{L}(x_0)$. The nontrivial discrete valuation of $\mathbf{L}((x_0))$ uniquely extends to a nontrivial, \mathbf{Q} -valued valuation on an algebraic closure. It restricts to a non-trivial \mathbf{Q} -valued valuation on \mathbf{k} .

The remaining case is the case of an algebraic closure of the rational field \mathbf{Q} ; pick any prime p and restrict the p -valuation from an algebraic closure of \mathbf{Q}_p .

Now if F is any field valued in \mathbf{R} , then $\mathrm{PGL}_2(F)$ has a natural action on a real tree, on which an element $\mathrm{diag}(a, a^{-1})$, for $|a| > 1$, acts hyperbolically.

(If \mathbf{k} is algebraic over a finite field, then $\mathrm{PGL}_2(\mathbf{k})$ is locally finite and thus satisfies $(\mathrm{FA})_\infty$.) □

Lemma A.9. *The three definitions of $(\mathbf{FR})_\infty$ in the introduction are equivalent.*

Sketch of proof. The implications (A.3) \Rightarrow (A.2) \Rightarrow (A.1) are clear. (A.1) \Rightarrow (A.2) is proved for trees in [52, Chap. I §6.5], the argument working for real trees. Now assume (A.2) and let us prove (A.3). Fix a point x_0 . For every finite subset F of the group, let \mathcal{S}_F be the segment joining x_0 to the set of F -fixed points. Then the union of \mathcal{S}_F , when F ranges over finite subsets of the group, is a geodesic emanating from 0. If it is bounded, its other extremity (which exists by completeness) is a fixed point. Otherwise, it defines a stably fixed end. \square

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